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Public Contracts and Property Management

269

41

CHAPTER 201 TO END

Revised as of July 1, 1986

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Public Contracts and Property Management

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CHAPTER 201 TO END

Revised as of July 1, 1986

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Table of Contents

	Page
Explanation	v
Title 41:	
Subtitle E—Federal Information Resources Management Regulations System	
Chapter 201—Federal Information Resources Management Regulation	5
Finding Aids:	
Table of CFR Titles and Chapters	213
Alphabetical List of Agencies Appearing in the CFR	227
Derivation and Distribution Tables	237
List of CFR Sections Affected	255

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Cite this Code **CFR**

thus: **41 CFR 201–1.000**

Explanation

The Code of Federal Regulations is a codification of the general and permanent rules published in the Federal Register by the Executive departments and agencies of the Federal Government. The Code is divided into 50 titles which represent broad areas subject to Federal regulation. Each title is divided into chapters which usually bear the name of the issuing agency. Each chapter is further subdivided into parts covering specific regulatory areas.

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Each volume of the Code is revised at least once each calendar year and issued on a quarterly basis approximately as follows:

Title 1 through Title 16 ..... as of January 1
Title 17 through Title 27 ..... as of April 1
Title 28 through Title 41 ..... as of July 1
Title 42 through Title 50 ..... as of October 1

The appropriate revision date is printed on the cover of each volume.

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JOHN E. BYRNE,
Director,
Office of the Federal Register.

July 1, 1986

THIS TITLE

Title 41—PUBLIC CONTRACTS AND PROPERTY MANAGEMENT consists of Subtitle A—Federal Procurement Regulations System. Subtitle B—Other Provisions Relating to Public Contracts and Subtitle C—Federal Property Management Regulations System. Subtitle D is reserved for other provisions relating to property management. Subtitle E—Federal Information Resources Management Regulations System.

As of July 1, 1985, the text of Subtitle A is no longer published in the Code of Federal Regulations. For an explanation of the status of Subtitle A, see 41 CFR Chapters 1—100 (page 3).

Other government-wide procurement regulations relating to public contracts appear in Chapters 50 through 100, Subtitle B.

The Federal property management regulations in Chapter 101 of Subtitle C are government-wide property management regulations issued by the General Services Administration. In the remaining chapters of Subtitle C are the *implementing* and *supplementing* property management regulations issued by individual Government agencies. Those regulations which implement Chapter 101 are numerically keyed to it.

The Federal Information Resources Management Regulations in Chapter 201 of Subtitle E are issued by the General Services Administration.

Title 41 is composed of four volumes. The chapters in these volumes are arranged as follows: Chapters 1—100, Chapter 101, Chapters 102—200, and Chapter 201 to End. These volumes represent all current regulations codified under this title of the CFR as of July 1, 1986.

For this volume, Donna L. Rickett was Chief Editor. The Code of Federal Regulations publication program is under the direction of Martha B. Girard, assisted by Robert E. Jordan.

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Title 41—Public Contracts and Property Management

(This book contains Chapter 201 to End)

Part

SUBTITLE E—FEDERAL INFORMATION RESOURCES MANAGEMENT REGULATIONS SYSTEM:

CHAPTER 201—Federal Information Resources Management Regulation 201-1

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Subtitle E—Federal Information Resources Management Regulations System

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CHAPTER 201—FEDERAL INFORMATION RESOURCES MANAGEMENT REGULATION

SUBCHAPTER A—GENERAL

Part		Page
201-1	Federal Information Resources Management Regulations System	7
201-2	Definitions of words and terms	16
201-3—201-5	[Reserved]	

SUBCHAPTER B—PREDOMINANT CONSIDERATIONS

201-6	Protection of personal privacy	32
201-7	Security of Information Resource Systems	36
201-8	Implementation and use of Federal standards	43
201-9—201-10	[Reserved]	
201-11	Competition	73
201-12—201-15	[Reserved]	

SUBCHAPTER C—ADMINISTRATION OF INFORMATION RESOURCES ACTIVITIES

201-16	Planning and budgeting for information resources activities	76
201-17—201-19	[Reserved]	
201-20	ADP management programs	77
201-21	Telecommunications management programs	79
201-22	Records management programs	82
201-23	Delegations of authority	35
201-24	Acquisition policies	97
201-25	[Reserved]	
201-26	Reporting requirements	104
201-27—201-29	[Reserved]	

SUBCHAPTER D—INFORMATION RESOURCES OPERATIONS

201-30	Management of ADP resources	107
201-31	Sharing of ADP resources	116
201-32	Contracting for ADP resources	124
201-33	Reuse of ADP equipment	144
201-34	Supporting ADP activities	156

BEST COPY AVAILABLE

Part		*Page*
201-35—201-37	[Reserved]	
201-38	Management of telecommunication resources	161
201-39	Major changes and new installations of telecommunication resources	165
201-40	Contracting for telecommunication resources	171
201-41	Routine changes and use of the Federal telecommunications system (FTS)	176
201-42—201-44	[Reserved]	
201-45	Management of records	181
201-46—201-49	[Reserved]	
	APPENDIX A—TEMPORARY REGULATIONS	206

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SUBCHAPTER A—GENERAL

PART 201–1—FEDERAL INFORMATION RESOURCES MANAGEMENT REGULATIONS SYSTEM

Sec.
201–1.000 Scope of part.
201–1.001–1 Information resources management (IRM).

Subpart 201–1.1—Purpose, Authority, Applicability, and Issuance

201–1.101 Purpose.
201–1.101–1 Relationship to other Government-wide regulations.
201–1.101–2 Additional FIRMR publications.
201–1.102 Authority.
201–1.102–1 Delegations.
201–1.102–2 Other related authorities.
201–1.102–3 Exclusions.
201–1.103 Applicability.
201–1.104 Issuance.
201–1.104–1 Publication and code arrangement.
201–1.104–2 Arrangement of regulations.
201–1.104–3 Copies.

Subpart 201–1.2—Administration

201–1.201 Maintenance of the FIRMR.
201–1.202 Agency compliance with the FIRMR.

Subpart 201–1.3—Agency Regulations

201–1.301 Policy.
201–1.302 Limitations.
201–1.303 Codification and public participation.
201–1.304 Agency control and compliance procedures.

Subpart 201–1.4—Deviations From the FIRMR

201–1.400 Scope of subpart.
201–1.401 Definition of deviation.
201–1.402 Policy.
201–1.403 Procedures.

Subpart 201–1.5—Agency and Public Participation

201–1.501 Definition of significant changes.
201–1.502 Solicitation of agency and public views.
201–1.503 Agency and public meetings.

Subpart 201–1.6—Contracting Rules

201–1.601 FAR Rules.
201–1.602 FIRMR rules.
201–1.603 Agency rules.

AUTHORITY: Sec. 205(c), 63 Stat. 390; 40 U.S.C. 486(c).

SOURCE: FIRMR Amdt. 1, 50 FR 4329, Jan. 30, 1985, unless otherwise noted.

§ 201–1.000 Scope of part.

This part sets forth basic policies and general information about the Federal Information Resources Management Regulations System (FIRMR system). The purpose, authority, applicability, issuance and maintenance of the FIRMR system are addressed. Other subjects under the FIRMR system include agency compliance, implementation, supplementation, deviation and contracting rules. Agency and public participation in the FIRMR system rulemaking process is also covered.

§ 201–1.000–1 Information resources management.

(a) "Information resources management (IRM)" is a concept for integrating and focusing a variety of activities on managing information throughout the life cycle (from collection or creation through final disposal), and in each segment of it in furtherance of program and agency objectives. It involves managing data and information in such a way that program and agency managers are able to obtain and use information efficiently, effectively, and economically.

(b) To date there is no universally agreed to definition of IRM. A single definition of IRM would be considered too restrictive by some groups, and too broad by others.

(c) Under the Paperwork Reduction Act of 1980, Pub. L. 96–511 [44 U.S.C. 3506(c)], agency information management activities include "* * * planning, budgeting, organizing, directing, training, promoting, controlling, and other managerial activities involving the collection, use, and dissemination of information * * * ". The Office of Management and Budget has broad Government-wide authorities and functions [44 U.S.C. 3504] for accomplishing all purposes of the Act.

(d) The FIRMR is limited to Government-wide regulations governing

agency information activities regarding the management, acquisition, and use of certain automatic data processing, records, and telecommunications resources under the authorities cited (see § 201-1.102).

Subpart 201-1.1—Purpose, Authority, Applicability, and Issuance

§ 201-1.101 Purpose.

(a) The FIRMR system is established to publish and codify uniform policies and procedures pertaining to information resources activities by Federal or executive agencies (as applicable), and by Government contractors as directed by agencies. (See § 201-1.103.)

(b) The FIRMR system consists of the Federal Information Resources Management Regulation (FIRMR), which is the primary document, and agency regulations that implement or supplement the FIRMR. The FIRMR includes policies and procedures for administering and maintaining the FIRMR system.

(c) FIRMR temporary regulations shall have a limited effectivity period. These are authorized for publication when time or exceptional circumstances does not permit the full participation by agencies or the public before promulgation of an amendment for codification in the Code of Federal Regulations (CFR). These temporary regulations will be codified or cancelled by the designated expiration date. FIRMR temporary regulations have the same force and effect as codified material.

§ 201-1.101-1 Relationship to other Government-wide regulations.

(a) *Federal Acquisition Regulation (FAR).* The FAR (48 CFR Chapter 1) contains general acquisition regulations. Acquisition portions of the FIRMR are the special category of procurement and contracting regulations to be used in conjunction with the FAR. Contracting for certain automatic data processing and telecommunications resources shall be accomplished in accordance with the FAR and the FIRMR. (See also Subpart 201-1.6.)

(b) *Federal Procurement Regulations (FPR).* The FIRMR replaces FPR Subparts 1-4.11, 1-4.12, and 1-4.13 and FPR §§ 1-1.004—Applicability and 1-1.009-3—Limitation on deviations.

(c) *Federal Property Management Regulations (FPMR).* (1) The FIRMR replaces Subchapter F (Parts 101-35, 101-36, and 101-37) of the FPMR.

(2) The FIRMR selectively replaces certain portions of Subchapter B (Part 101-11) as those portions are consolidated into the FIRMR. These actions will be accomplished in coordination with the Archivist of the United States.

(3) Information resources activities are subject to the remainder of the FPMR to the extent applicable.

(d) *FPMR and FPR applicability to solicitations issued before FIRMR effective date.* The replaced portions of the FPMR and FPR listed in paragraphs (b) and (c) above, continue to apply to information resources solicitations (and resultant contracts) issued before April 1, 1984. The administration of this paragraph (d) shall be consistent with similar circumstances applied in the administration of the procurement and contracting regulations replaced by the FAR.

(e) *Interim implementation of the FIRMR.* As an interim implementation measure, the FIRMR, exclusive of Part 201-1, uses renumbered FPR and FPMR provisions. These provisions are contained in Parts 201-4, 201-35, 201-36, 201-37 and temporary regulations related to the parts. These FIRMR provisions, even though originally published and distributed as FPMR and FPR provisions, shall be referred to by their FIRMR (renumbered) identification. Interim provisions were superseded by full text provisions on the effective date of Amendment 1.

§ 201-1.101-2 Additional FIRMR publications.

(a) The General Services Administration (GSA) will issue from time to time subsidiary nonregulatory publications to provide guidance and information.

(b) The FIRMR bulletin series addresses specific information resources

areas that benefit from broad dissemination. FIRMR bulletins are published as Appendix B, and an Index of Current Issuances as Appendix C, both in the looseleaf edition only.

(c) FIRMR handbooks and reports address specific program or technical areas where the audience generally will be defined by the subject matter. Procedural implementation of regulatory material uses the handbook format. General distribution of handbooks and reports is not generally made. FIRMR bulletins announce their availability. An Index of Current Handbooks and Reports is published as Appendix D, in the looseleaf edition only.

§ 201-1.102 Authority.

(a) The FIRMR is prepared, issued, and maintained, and the FIRMR system is prescribed, by the Administrator of General Services under the Federal Property and Administrative Services Act of 1949, Pub. L. 152, 81st Congress (63 Stat. 377), as amended (the "Property Act"), particularly section 205(c) (40 U.S.C. 486(c)), and other authorities cited.

(b) "Property Act" authorities addressed in the FIRMR include—

(1) Section 110 (40 U.S.C. 757) regarding the Federal Telecommunications Fund, a revolving fund which is available without fiscal year limitation;

(2) Section 111 (40 U.S.C. 759) regarding automatic data processing (ADP) resources acquisition and management, including exclusive procurement authority, the ADP Fund (a revolving fund which is available without fiscal year limitation), and relations between GSA, the agencies, and the Office of Management and Budget (OMB);

(3) Section 201 (40 U.S.C. 481) regarding procurement and related property management activities, including multiyear contracting authority for telecommunications and exchange/sale authority;

(4) Section 203 (40 U.S.C. 484) regarding property disposal;

(5) Section 206 (40 U.S.C. 487) regarding implementation of Federal standards;

(6) Title III (41 U.S.C. 251 et seq.) regarding procurement procedure; and

(7) Section 602(c) regarding relationship of "Property Act" authority to other statutory authority.

(c) Other authorities addressed in the FIRMR include—

(1) Section 7 of the Act of June 14, 1946 (40 U.S.C. 295), as amended, regarding telecommunications.

(2) Pub. L. 90-620 (44 U.S.C. 2901-2910, Chapter 29 and 44 U.S.C. 3101-3107, Chapter 31), as amended, regarding records management.

(3) Pub. L. 96-511 (44 U.S.C. 3501 et seq.), Paperwork Reduction Act of 1980, particularly section 3504 regarding records management, section 3513 regarding selective triennial review of agency information management activities, and section 3505 regarding development of a five-year plan for meeting the ADP and telecommunications needs of the Federal Government.

(4) Pub. L. 98-369, The Competition in Contracting Act of 1984.

(5) Pub. L. 98-577, The Small Business and Federal Procurement Competition Enhancement Act of 1984.

[FIRMR Amdt. 1, 50 FR 4329, Jan. 30, 1985, as amended by FIRMR Amdt. 4, 50 FR 27144, July 1, 1935]

§ 201-1.102-1 Delegations.

GSA grants delegations of authority for agencies or activities to carry out responsibilities vested in GSA, including exclusive procurement authority for ADP. The FIRMR contains certain blanket delegations, references to certain delegations granted to meet specific information resources needs, and provisions for requesting and granting certain other delegations. (See Part 201-23.)

§ 201-1.102-2 Other related authorities.

(a) Presidential directives addressed in the FIRMR include—

(1) Presidential letter of July 1, 1949 (14 FR 3699; 3 CFR) issued pursuant to section 205(a) regarding exercise of Property Act authorities; and

(2) Executive Order 12472 of April 3, 1984 (49 FR 13471, April 5, 1984) regarding national security and emergency preparedness telecommunica-

tions functions (superseding Presidential memorandum of August 21, 1963 (28 FR 9413; 3 CFR)).

(b) The FIRMR, as well as agency regulations and implementations are subject to the OMB oversight as provided by—

(1) The "Property Act";

(2) The Paperwork Reduction Act of 1980, including section 3506(c)(4) regarding agency accountability and section 3518(d) regarding authority relationships; and

(3) The Office of Federal Procurement Policy Act of 1974, Pub. L. 93-400 (41 U.S.C. 401 *et seq.*), as amended, including section 6(h) (41 U.S.C. 405(h)) regarding authority relationships, section 16(3) (41 U.S.C. 414) regarding agency responsibilities, section 18 (41 U.S.C. 416) regarding procurement notices, and section 22 (41 U.S.C. 418b) regarding publication of proposed regulations.

(c) The authority conferred upon the Administrator of General Services (and the Secretary of Commerce) by Pub. L. 89-306 (40 U.S.C. 759) concerning ADP resources will be exercised subject to direction by the President and to fiscal and policy control exercised by OMB. Authority so conferred upon the Administrator shall not be construed as to impair or interfere with the determination by agencies of their individual ADP resources requirements, including the development of specifications for and the selection of the types and configurations of equipment needed. The Administrator will not interfere with, nor attempt to control in any way, the use made of ADP resources by any agency. The Administrator will provide adequate notice to all agencies and other users concerned with respect to each proposed determination specifically affecting them or the ADP resources used by them. In the absence of mutual agreement between the Administrator and the agency or user concerned, such proposed determination will be subject to review and decision by OMB unless the President otherwise directs. When an agency submits these matters to OMB for resolution, copies of the submission and all relevant data and information (other than that previously furnished by the agency) shall be furnished to the Assistant Administrator for Information Resources Management (K), General Services Administration, Washington, DC 20405. Copies of data or information submitted to OMB by GSA in this connection will also be furnished to the agency concerned.

(d) Agency heads are subject to management direction contained in Executive orders and other Presidential direction, and OMB Circulars, including A-10, A-11, A-40, A-71, A-108, A-121, and A-123. The present value concept in A-94 is applied in the FIRMR. The applicability of A-76 and A-109 to agency information resources activities is as determined and directed by OMB.

(e) As a part of their ongoing oversight activities, Members of Committees of the Congress from time to time request information or express concerns regarding various facets of information resources activities. GSA will solicit the cooperation of agencies from time to time in order to be responsive to these queries.

[FIRMR Amdt. 1, 50 FR 4329, Jan. 30, 1985, as amended by FIRMR Amdt. 4, 50 FR 27144, July 1, 1985]

§ 201-1.102-3 Exclusions.

(a) In accordance with Pub. L. 97-86 (10 U.S.C. 2315), the FIRMR does not apply to the procurement of automatic data processing equipment and services for certain defense purposes, if the function, operation, or use—

(1) Involves intelligence activities;

(2) Involves cryptologic activities related to national security;

(3) Involves the command and control of military forces;

(4) Involves equipment that is an integral part of a weapon or weapons system; or

(5) Is critical to the direct fulfillment of military or intelligence missions, but not including ADP equipment or services to be used for routine administrative and business applications (including payroll, finance, logistics, and personnel management applications).

(b) In accordance with Pub. L. 97-269 (50 U.S.C. 403c(e)), the FIRMR does not apply to the procurement by

the Central Intelligence Agency of automatic data processing equipment or services.

(c) The FIRMR does not apply to other information resources activities by agencies to the extent that they are specifically exempted by law.

§ 201-1.103 Applicability.

(a) *General.* The FIRMR applies to information resources activities by Federal or executive agencies (as applicable), and by Government contractors as directed by agencies, to the extent specified in the "Property Act", or in other law (see § 201-1.102).

(b) *ADP activities.* (1) The FIRMR applies to the management, acquisition, and use of ADP resources by Federal agencies regardless of use or application, including Government-acquired ADP resources provided to contractors. ADP resources include ADP equipment, software, related supplies, maintenance services, ADP services, and ADP support services.

(2) Agencies shall require their Government contractors to apply the policies and procedures in the FIRMR to the management, acquisition and use of ADP equipment, software, maintenance, and related supplies when the very subject matter of a contract is for the performance of commercial ADP services or support services for a Federal agency, and when—

(i) The Government requires the contractor to purchase ADP equipment or software for the account of the Government; or

(ii) The Government requires the contractor to pass title to ADP equipment or software to the Government; or

(iii) The Government pays the full lease costs of ADP equipment or software under a cost-reimbursement contract.

(3) When the very subject matter of a contract is for something other than the contracting for ADP resources, agencies shall not require their Government contractors to apply the policies and procedures in the FIRMR even though commercially available ADP resources are used in contract performance. However, if it is operationally feasible to sever the ADP resources requirements from the overall requirement, they shall be severed and contracted for in accordancee with the FIRMR if this action will promote economy, efficiency, and full and open competition.

(4) The FIRMR applies to the use of GSA nonmandatory schedules for the acquisition of certain office automation equipment not defined as ADP equipment.

(c) *Telecommunications activities.* (1) The FIRMR applies to the management, acquisition, and use of telecommunications resources by executive agencies.

(2) The FIRMR also applies to telecommunications resources furnished by GSA to any Federal agency upon request from other agencies.

(3) The applicability of the telecommunications resources provisions of the FIRMR to the Department of Defense (DoD) is governed by the statement of areas of understanding between DoD and GSA (15 FR 8226, December 1, 1950).

(4) The telecommunications resources provisions of the FIRMR do not apply to the requirements of the following operational telecommunications services and facilities (except to the extent specified by each agency in its regulations or directives implementing and supplementing the FIRMR).

(i) Federal Aviation Agency facilities used for regulation and protection of air traffic.

(ii) National Aeronautics and Space Administration missile and satellite tracking facilities.

(iii) Veterans Administration facilities installed in a hospital complex for biomedical communications.

(iv) Bureau of Prisons facilities installed in penal or correctional institutions to meet physical security requirements.

(v) Tennessee Valley Authority non-common-use facilities peculiar to operation of TVA projects.

(vi) Nuclear Regulatory Commission and the Department of Energy activities as successor agencies to the Atomic Energy Commission (AEC) in accordance with statement of understanding between AEC and GSA dated April 28, 1969.

(5) The FIRMR applies to the use of GSA nonmandatory schedules for the acquisition of communications equipment under Federal Supply Classification Group 58 not defined as telecommunications equipment.

(d) *Records management activities.* The FIRMR applies to records management activities by Federal agencies. In addition, records management provisions in FPMR Subchapter B (41 CFR 101-11) apply to Federal agencies.

(e) *Utilization and disposal activities.* The FIRMR applies to utilization management activities by Federal agencies. In addition, utilization and disposal provisions in FPMR Subchapter H (41 CFR 101-42 through 101-49) apply to Federal or executive agencies (as applicable).

(f) *Government contractors.* Except as provided in paragraph (b) above, the FIRMR does not apply to contractor acquisition of information resources for its own account in the performance of a Government contract.

(g) *Experts and consultants.* The FIRMR does not apply to the employment of experts and consultants pursuant to 5 U.S.C. 3109 regarding "personal services".

NOTE: The FIRMR includes a blanket delegation of procurement authority for agencies to procure (non-personal) commercial ADP support services (see § 201-23.104-6).

[FIRMR Amdt. 1, 50 FR 4329, Jan. 30, 1985, as amended by FIRMR Amdt. 4, 50 FR 27144, July 1, 1985]

§ 201-1.104 Issuance.

§ 201-1.104-1 Publication and code arrangement.

(a) The FIRMR is published in (1) the daily issue of the FEDERAL REGISTER, (2) cumulated form in the Code of Federal Regulations (CFR), and (3) a separate looseleaf edition. Amendments and temporary regulations will be published in the FEDERAL REGISTER and in looseleaf form. Bulletins will be published in looseleaf form.

(b) The FIRMR is issued as Chapter 201 of Title 41, CFR. Subsequent chapters in Subtitle E of Title 41 are reserved for agency regulations that implement or supplement the FIRMR (see Subpart 201-1.3). The CFR Staff will assign FIRMR chapter numbers to requesting agencies.

(c) Each numbered unit or segment (e.g., part, subpart, section, etc.) of an agency regulation that is codified in the CFR shall begin with the chapter number.

§ 201-1.104-2 Arrangement of regulations.

(a) *General.* The FIRMR is divided into subchapters, parts (each of which deals with a separate aspect of information resources), subparts, sections, and subsections.

(b) *Numbering.* (1) The numbering system permits the discrete identification of every FIRMR paragraph. FIRMR material is preceded by digit 201-. This means that it is Chapter 201 in Title 41 of the Code of Federal Regulations. The digit(s) before the decimal point indicates the part. The digits after the decimal point indicate the subpart and section, respectively, the latter always in two digits. The digit(s) after the dash indicates the subsection. For example, subsection 201-1.104-2:

Chapter
201-
Part
1.
Subpart
1
Section
04
Subsection
-2

(2) Subdivisions may be used at the section and subsection level to identify individual paragraphs. Subdivisions below the section or subsection level shall consist of parenthetical alphanumerics reading from highest to lowest indenture as follows: Lower case alphabet, Arabic numbers, lower case Roman numerals, and upper case alphabet. The following example is illustrative:

(a)(1)(i)(A)

(c) *References and citations.* (1) Unless otherwise stated, cross-references indicate parts, subparts, sections, subsections, paragraphs, subparagraphs, or subdivisions of this regulation.

(2) This regulation may be referred to as the Federal Information Re-

sources Management Regulation or the FIRMR.

(3) This regulation should be cited as "41 CFR 201-" followed by the appropriate inferior division numbers.

(4) Citations of authority (e.g., statutes or executive orders) in the FIRMR shall follow the FEDERAL REGISTER format.

§ 201-1.104-3 Copies.

(a) Copies of the FIRMR In FEDERAL REGISTER (daily) and CFR (cumulative, annually updated) form may be purchased from the Superintendent of Documents, Government Printing Office (GPO), Washington, DC 20402.

(b) Copies of the FIRMR in looseleaf edition (cumulative reprint plus amendments and temporary regulations as issued) may be purchased by—

(1) Federal agencies from the GPO, using SF-1 rider requisitions to GSA requisitions; and

(2) The public from the GPO, using direct subscription.

[FIRMR Amdt. 1, 50 FR 4329, Jan. 30, 1985, as amended by FIRMR Amdt. 4, 50 FR 27144, July 1, 1985]

Subpart 201-1.2—Administration

§ 201-1.201 Maintenance of the FIRMR.

(a) Subject to the authorities discussed in § 201-1.102, changes to the FIRMR shall be prepared and issued through the GSA Assistant Administrator for Information Resources Management by the Administrator of General Services. Specialized procurement and contracting provisions shall be coordinated with the GSA Assistant Administrator for Acquisition Policy. Records management provisions shall be coordinated with the Archivist of the United States. Issuance shall be made through the GSA Associate Administrator for Policy and Management Systems.

(b) The GSA Assistant Administrator for Information Resources Management shall be responsible for—

(1) Preparing the FIRMR regulatory agenda and attendant submissions;

(2) Preparing proposed changes to the FIRMR;

(3) Soliciting comments on proposed changes to the FIRMR;

(4) Considering all comments received in response to notice of proposed changes;

(5) Arranging for agency and public meetings;

(6) Preparing any final change in the appropriate FIRMR format and language;

(7) Submitting any final change to the FEDERAL REGISTER Liaison Officer for publication in the FEDERAL REGISTER and printing for distribution; and

(8) Performing miscellaneous administrative tasks pertaining to the maintenance of the FIRMR.

§ 201-1.202 Agency compliance with the FIRMR.

Agency compliance with the FIRMR (see Subpart 201-1.3) is the responsibility of the agency head. Responsibility for executive agency information management activities shall be carried out by the senior official (or in the case of military departments and the Office of the Secretary of Defense, officials) designated by the agency head according to the Paperwork Reduction Act of 1980 (44 U.S.C. 3506). Responsibility for executive agency procurement system management direction shall be carried out by the senior procurement executive designated by the agency head according to the Office of Federal Procurement Policy Act Amendments of 1983 (41 U.S.C. 414).

Subpart 201-1.3—Agency Regulations

§ 201-1.301 Policy.

(a) In conjunction with the FAR and subject to the authority in paragraph (c) of this section and other statutory authority, except as stated in paragraph (b) of this section, an agency head may issue or authorize the issuance of agency regulations that (1) implement or supplement the FIRMR and (2) incorporate, together with the FIRMR, agency-wide policies, procedures, solicitation provisions and contract clauses controlling activities within the scope of the FIRMR. Agency-wide regulations shall be published in the FEDERAL REGISTER as required by law.

(b) Subject to the authority in paragraph (c) of this section and other statutory authority, an agency head may issue or authorize the issuance of internal agency guidance at any organizational level (e.g., designations and delegations of authority, assignments or responsibilities, work-flow procedures, and internal reporting requirements). Such agency internal guidance need not be published in the FEDERAL REGISTER.

(c) Agency regulations addressing subject matter within the scope of the FIRMR (see § 201-1.000-1(d)) are subject to the regulatory authority (40 U.S.C. 486(c)) of the Administrator of General Services, unless otherwise specified by law.

§ 201-1.302 Limitations.

Unless otherwise specified by law, agency regulations shall be limited to—

(a) Those necessary to implement FIRMR policies and procedures within the agency; and

(b) Additional policies and procedures that supplement the FIRMR to satisfy the specific needs of the agency.

§ 201-1.303 Codification and public participation.

(a) Agency regulations that are published in the FEDERAL REGISTER shall be codified under an assigned chapter in Title 41, Code of Federal Regulations, and shall parallel the FIRMR in format, arrangement, and numbering systems. For exception, see paragraph (c) of this section. Coverage in any agency regulation that implements a specific part, subpart, section or subsection of the FIRMR shall be numbered and titled to correspond to the appropriate FIRMR number and title. Supplementary material for which there is no counterpart in the FIRMR shall be codified using chapter, part, subpart, section, or subsection numbers of 50 and up (e.g., for the Department of Interior, whose assigned FIRMR system chapter number in Title 41 is 214, Part 214-50, Subpart 214-1.50, section 214-1.350, or subsection 214-1.303-50.)

(b) Agency heads shall establish procedures to ensure public participation when appropriate in the promulgation of agency regulations that must be published in the FEDERAL REGISTER (see § 201-1.301(a)). The coverage on public participation in Subpart 201-1.5 shall be the principal guideline for establishing these procedures.

(c) Agency provisions that supplement or implement the FIRMR, and which pertain solely to the specialized procurement and contracting aspects of information resources activities, may be published in agency acquisition regulations; provided the agency complies with all applicable provisions of the FIRMR.

§ 201-1.304 Agency control and compliance procedures.

(a) Agencies shall control and limit issuance of agency regulations and shall establish formal procedures for the review of these regulations to ensure compliance with this Part 201-1.

(b) Agency regulations shall not—

(1) Unnecessarily repeat, paraphrase, or otherwise restate material contained in the FIRMR or higher-level agency regulations; or

(2) Conflict or be inconsistent with FIRMR content, except as required by law or as provided in Subpart 201-1.4.

(c) Agencies shall evaluate their regulatory coverage to determine if it could apply to other agencies. Coverage that is not peculiar to one agency shall be recommended for inclusion in the FIRMR.

Subpart 201-1.4—Deviations From the FIRMR

§ 201-1.400 Scope of subpart.

This subpart prescribes the policies and procedures for authorizing deviations from the FIRMR.

§ 201-1.401 Definition of deviation.

"Deviation", as used in Subpart 201-1.4, means any one or combination of the following:

(a) Issuance or use of a policy, procedure, or practice pertaining to information resources activities that is inconsistent with the FIRMR;

(b) Omission or modification of a policy, procedure, or practice that is required by the FIRMR; or

(c) Authorization of lesser or greater limitations upon the delegation, use, or application of a policy, procedure, or solicitation provision and contract clause that is specified in the FIRMR. (This does not include setting agency thresholds for agency management control purposes at levels other than in the FIRMR.)

§ 201-1.402 Policy.

Deviations from the FIRMR shall be kept to a minimum consistent with the specific needs and statutory authorities of each agency. Class deviations may be authorized only by the Administrator of General Services. Individual deviations may also be authorized by the GSA Assistant Administrator for Information Resources Management, or the officials designated by the Assistant Administrator for this purpose.

[FIRMR Amdt. 4, 50 FR 27144, July 1, 1985]

§ 201-1.403 Procedures.

(a) The agency head shall prescribe a formal agency procedure for the control of requests for deviations from the FIRMR. The procedure should include coordination with the agency designated senior official and the agency senior procurement executive. A copy of this procedure shall be provided upon request to the General Services Administration (KMPP), Washington, DC 20405.

(b) Each request shall explain the nature of and the reasons for the deviation.

(c) Agencies shall forward requests for deviations to the General Services Administration (KMPP), Washington, DC 20405.

Subpart 201-1.5—Agency And Public Participation

§ 201-1.501 Definition of significant changes.

"Significant changes" to the FIRMR, as used in Subpart 201-1.5, means changes that alter the substantive meaning of the FIRMR and are anticipated to have impact on the public or on agency information resources or program activities. This does not include editorial, stylistic, or other changes that have no impact on the substantive meaning of the FIRMR.

§ 201-1.502 Solicitation of agency and public views.

(a) Views of interested parties will be considered in formulating policies and regulations under the FIRMR.

(b) The opportunity to submit written comments on proposed significant changes to the FIRMR will be provided by a notice in the FEDERAL REGISTER. Each of these notices will—

(1) Include the text of the proposal or a summary and a statement specifying where the full text may be obtained; and

(2) Request interested parties to submit comments on the proposed coverage, addressed to the General Services Administration, Chief, Policy Branch (KMPP), Washington, DC 20405, for consideration in the formulation of the final coverage that will be published in the FEDERAL REGISTER.

(c) The length of the comment period will not be less than 30 days. Normally, at least 60 days will be given for the receipt of comments.

(d) Comments need not be solicited if the proposed coverage does not constitute a significant change to the FIRMR.

(e) The Administrator of General Services may issue a temporary change to the FIRMR where solicitation of comments is impractical due to urgent and compelling circumstances (e.g., when a new statute must be implemented in a relatively short period of time). However, provisions will be made for a public comment period of at least 30 days for consideration in the formulation of the final change to the FIRMR.

(f) Consideration will also be given to unsolicited recommendations for changes to the FIRMR that have been submitted in writing with sufficient data and rationale to permit evaluation.

[FIRMR Amdt. 4, 50 FR 27144, July 1, 1985]

§ 201-1.503 Agency and public meetings.

Agency or public meetings may be appropriate when actions regarding FIRMR coverage or information resources activities policies and procedures are likely to benefit from significant additional views and discussions.

Subpart 201-1.6—Contracting Rules

§ 201-1.601 FAR rules.

The FAR (48 CFR Ch. 1) provides general rules that must be used by executive agencies for all applicable acquisitions, including information resources acquisitions. The FAR does not contain the additional special category procurement and contracting rules that apply Government-wide to certain automatic data processing and telecommunications resources acquisitions.

§ 201-1.602 FIRMR rules.

The FIRMR provides the special category procurement and contracting rules that apply Government-wide to certain automatic data processing and telecommunications resources acquisitions. Acquisition portions of the FIRMR shall be used in conjunction with the FAR.

§ 201-1.603 Agency rules.

Agency rules pertaining to information resources acquisitions shall not conflict or be inconsistent with either FAR or FIRMR rules.

PART 201-2—DEFINITIONS OF WORDS AND TERMS

Sec.
201-2.000 Scope of part.
201-2.001 Definitions.

AUTHORITY: Sec. 205(c), 63 Stat. 390; 40 U.S.C. 486(c).

§ 201-2.000 Scope of part.

This part defines various words and terms used in the FIRMR. In some instances, for convenience, the definitions which are prominent in an individual part or subpart are reprinted in that part or subpart. The selection or nonselection of a particular definition to be reprinted in an individual subpart, however, does not affect the applicability of all definitions in this Part 201-2 to that part or subpart. Definitions with limited applicability are identified and their applicability is stated.

[50 FR 4334, Jan. 30, 1985]

§ 201-2.001 Definitions.

"ADP" means automatic data processing.

"ADP equipment system" means an operational or managerial entity of general purpose ADPE components containing at least one separate identifiable central processing unit and such other components as input/output devices and storage units.

"ADP Fund" means a financing mechanism administered by GSA and which, subject to GSA approval, is available without fiscal year limitation for financing the acquisition of ADPE and related items by lease, purchase, transfer, or otherwise.

"ADP resource" means (1) automatic data processing equipment (ADPE), software, firmware, or related supplies as defined in § 201-2.001, (2) ADP management, technical, or operations personnel, or (3) a contracted commercial ADP service or ADP support service.

"ADP resource system" means a combination of ADP resource elements organized to perform specific or types of specific ADP requirements. ADP equipment systems and systems using commercial ADP services are included.

"ADP services" means the computation or manipulation of data by computers in support of administrative, financial, communicative, scientific, and other similar Federal agency data processing applications. This term includes teleprocessing (including remote batch) and local batch processing. (See also "commercial ADP services.")

"ADP sharing" means the provision of available ADP resources to users by an organization with no primary responsibility for supporting those users.

"ADP simulation" means the physical or mathematical representation of all or part of a computer system (including software) used for predicting or evaluating performance.

"ADP support services" means services, except maintenance services (see definition, this section), that are adjunct and essential to agency ADP activities but do not involve the actual computation or manipulation of data by a computer. This term includes source data entry, computer output microfilming, conversion, training, studies, facilities management of Government furnished ADP equipment, systems analysis and design, programing, equipment operation, and computer performance evaluation. (See also "commercial ADP support services.")

"ADP system security" means the degree of protection of ADP equipment and data that is estabished through the application of technological safeguards, physical security measures, and administrative procedures applied to a sensitive application system, its component facilities and equipment, its software, and its data to ensure protection of a computer system and its telecommunications.

"ADP unit" means any organizational element of the Federal Government which:

(a) Uses or plans to use ADPE;

(b) Uses or plans to use commercial ADP services;

(c) Has organizational components which perform ADP management, development, programming, selection, or implementing functions; or

(d) Has Government contractors, including educational institutions and other not-for-profit contractors or organizations, who operate ADP equipment in the performance of work under cost reimbursement-type contracts or subcontracts when: (1) equipment is leased and the total cost of leasing is to be reimbursed under one or more cost reimbursement-type contracts; (2) equipment is purchased by the contractor for the account of the Government or title will pass to the Government; (3) equipment is furnished to the contractor by the Government; or (4) equipment is installed in Government-owned contractor-operated facilities.

"Agency, as used in Subpart 201-6.1" is defined in 5 U.S.C. 551(1). It means any executive department, military department, Government corporation, Government-controlled corporation, or other establishment in the executive branch of the Government (including the Executive Office of the President), and any independent regulatory agency.

"Agency controls, as used in Part 201-7" means those administrative and personnel measures used in conjunction with ADP administrative, technical, and physical security measures to achieve adequate comprehensive security.

"Agency, Federal"—see "Federal agency."

"Agency procurement request (APR)" means a request by a Federal agency for GSA to acquire ADPE, commercially available software, maintenance services, and commercial ADP services or for GSA to delegate the authority to acquire these items.

"Analog computer" means a computer that operates on continuous data as distinguished from discrete data. It translates physical conditions such as flow, temperature, pressure, angular position, or voltage into related mechanical quantities and uses mechanical or electrical equivalent circuits as an analog for the physical phenomenon being investigated.

"Application software"—see "Software terms."

"Automated translation"—see "Software terms."

"Automatic data processing equipment (ADPE)" means general purpose, commercially available, mass-produced automatic data processing devices; i.e., components and the equipment systems configured from them together with commercially available software packages that are provided and are not priced separately, and all documentation and manuals relating thereto, regardless of use, size, capacity, or price, that are designed to be applied to the solution or processing of a variety of problems or applications and are not specially designed (as opposed to configured) for any specific application.

(a) Included are:

(1) Main-frame, mini, and micro digital, analog, or hybrid computers;

(2) Auxiliary or accessorial equipment, such as plotters, tape cleaners, tape testers, data conversion equipment, source data automation record-

ing equipment (optical character recognition devices, computer input/output microfilm and other data acquisition devices), or computer performance evaluation equipment; etc., designed for use with digital, analog, or hybrid computer equipment, either cable or modem connected, wire connected, or stand-alone, and whether selected or acquired with a computer or separately;

(3) Punched card accounting machines that can be used in conjunction with or independently of digital, analog, or hybrid computers;

(4) Devices used to control and transfer data and/or instructions to and from a central processing unit (CPU), including data transmission terminals, batch terminals, display terminals, modems, sensors, multiplexors, and concentrators;

(5) Storage devices that are designed to be cable connected for use on line in which data can be inserted, retained, and retrieved for later use;

(6) General purpose mini or microcomputers used as control mechanisms where computer technology is essential in controlling, monitoring, measuring, and directing processes, devices, instruments, or other equipment (see also §§ 201-24.202 and 201-24.203); and

(7) Equipment used in office automation applications that is designed to be controlled by a general purpose data processing language primarily to be applied through the internal execution of a series of instructions, not limited to specific key stroke functions, and designed to process a variety of applications.

(b) Excluded are:

(1) ADPE systems and components specially designed (as opposed to configured) and produced to perform computational, data manipulation, or control functions, but which have no general purpose applicability;

(2) ADPE that is modified at the time of production to the extent that:

(i) It no longer has a commercial ADP market; or

(ii) It cannot be used to process a variety of applications; or

(iii) It can be used only as an integral part of a non-ADP system.

"Automatic release date (ARD)" means the date established by GSA on which screening or advertising of excess Government-owned ADPE or exchange/sale ADPE to Federal agencies is terminated. The ARD signifies the date that Government-owned ADPE is transferred from excess to surplus status or the date the ADPE is released for exchange/sale. For Government-leased ADPE, the ARD is the date established by the holding agency as the date on which the equipment will be returned to the supplier.

"Availability list" means a listing of excess and exchange/sale ADPE available for reutilization by Federal agencies.

"Cannibalization" means the removal of a part or device which is not identifiable by a manufacturer's type or model number from an ADP component which is identifiable by a manufacturer's type or model number; or, the removal of any part or device from an ADP component which would cause that component not to function as intended by its manufacturer.

"Capability validation of an ADP equipment system" means the technical verification of the ability of a proposed ADPE configuration, replacement component, or the features or functions of its software, to satisfy functional requirements. The intent of capability validation is to ensure that the proposed ADP resource can provide the required functions. ADP performance requirements are not implied or measured in the validation. Examples of ADPE capability validation include:

(a) Operational Capability Demonstrations (OCDs) of the functions of the hardware, operating system or support software;

(b) Verification of conformance with pertinent ADP standards;

(c) Expert examination of the technical literature supplied with the offer;

(d) Contacts with other users of the proposed ADPE; and

(e) Vendor certification of conformance with the functional requirements.

"Collocation" means the act of locating or relocating an ADP facility contiguous to or in another existing or planned ADP facility.

BEST AVAILABLE

"Commercial ADP services" means the performance of ADP services by contractors.

"Commercial ADP services and support services subject to the Privacy Act" means those ADP services and ADP support services performed by Government contractors in connection with the operation by or on behalf of any executive agency of a system of records on individuals to accomplish an agency function from which information is retrieved by the name of an individual or some identifying number, symbol, or other identifying particular assigned to the individual. Therefore, the requirement is subject to the Privacy Act of 1974 (Pub. L. 93-579, 5 U.S.C. 552a). (See also OMB Circular No. A-108, July 9, 1975, as supplemented, for policies and guidelines.)

"Commercial ADP support services" means the performance of ADP support services on a nonpersonal services basis.

"Commercially available software"—see "Software terms."

"Common-use software"—see "Software terms."

"Comparative cost analysis for purposes of telecommunications acquisition." See Temp. Reg. 4.

"Compatibility limited requirement" means a statement of ADP equipment or service requirements expressed in terms that require the items to be compatible with the existing software or ADP equipment.

"Compiler" means the combination of equipment and software/firmware elements used to convert a source program written in a high level programing language into a form capable of being executed by a computer, or to cause a source program written in a high level programing language to be executed on a computer. The terms "interpreter" and "processor" can be used interchangeably with the term "compiler".

"Computer data base"—see "Software terms".

"Computer output microform (COM)" —see "Microform terms."

"Computer performance evaluation" means the measurement or simulation of system software and hardware performance in the normal processing environment in order to identify any possible improvements in portions of the systems software or modifications of hardware configuration.

"Computer program"—see "Software terms".

"Computer software documentation"—see "Software terms".

"Condition codes"—Single-position alpha-numeric condition codes shall be used to define the condition of all excess ADPE and supplies reported to GSA for reutilization. These codes are defined in FPMR § 101-43.4801 (e) and (f). The condition code reporting procedure is outlined in § 201-33.011.

"Consensual, as used in Subpart 201-6.2" means that one party to a telephone conversation has given prior consent to the interception or recording of the conversation.

"Consolidation" means the act of merging separate groupings of ADP resources into one ADP entity through joint utilization, establishment of a Federal Data Processing Center, or through some other similar cooperative arrangement.

"Continuation sheet"—see "Stationery terms."

"Copy terms" include—

(a) "Copier" means a machine that creates paper copies directly without requiring the creation of an intermediate master or plate for each original.

(b) "Copy" means a duplicate of a document previously created.

(c) "Copying" means the making of copies whether by copier or duplicator.

(d) "Copying equipment" means either copiers or duplicators.

(e) "Duplicator" means a machine that produces paper copies through the use of an intermediate master.

"Correspondence" means letters, form letters, telegrams, memoranda, endorsements, summary sheets, postal cards, memo routing slips, and other written communications.

"Data, facsimile, and record telecommunication services" means telecommunication services used for all types of data transmission, including data, facsimile, graphic, and record (including teletypewriter and telegraph) transmission but not including services used exclusively for voice, radio, video or audio transmission, or secure telecommunications purposes.

"Data processing facility" means the personnel, hardware, software, and physical facilities of an organizational entity whose primary function is the operation of one or more computers. A data processing facility includes:

(a) The personnel who operate computers; develop and maintain software; provide user liaison and training; schedule jobs and computer time; prepare and control input data; control, reproduce, and distribute output data; maintain tape and disk libraries; provide security; maintenance, and custodial services; and manage or provide administrative support to other personnel engaged in these activities.

(b) The owned, rented, or leased computer and telecommunications hardware including central processing units; associated peripheral equipment such as control or switching units, disk drives, tape drives, drum storage, printers, card readers, and consoles; data entry equipment; data reproduction, decollation, booking, and binding equipment; and telecommunications equipment used for the transfer of data between remote sites and the facilities including telecommunications control units, terminals, modems and dedicated phone lines.

(c) The general purpose software including operating system software, utilities, sort, merge, language processors, access methods, data base processors, and other similar multiuser software.

(d) The physical facilities including computer rooms; tape and disk libraries, stockrooms and warehouse space; office space; physical fixtures such as desks, chairs, storage, and file cabinets; general office telephones; and general office duplicating equipment, calculators, typewriters, and similar office machines.

"Data processing facility environment" means the aggregate of conditions that influence the performance of a data processing facility, personnel, and equipment.

"Data processing facility security" means those technological safeguards, physical security measures, and administrative procedures applied to a data processing facility and its equipment, software, data, and operational and user personnel, in order to ensure the protection of organizational assets, proprietary data, market information, individual privacy, etc.

"Data processing facility subject to OMB Circular A-121" means all data processing facilities operated by, or on behalf of, an executive agency that provide service to more than one user, operate one or more general management computers, and exceed $100,000 per year for the full cost of operation.

"Dedicated teleprocessing system" means the totality of an ADP resource system or specified ADP resource subsystems thereof, of a teleprocessing system that is specifically reserved and priced on the basis of exclusive use by a single Government user or group of users. The term includes the ADPE configuration, operating system, supporting software, application library and supporting communications interfaces, but normally excludes the data communication network that may be shared.

"Determination, as used in Subpart 201-6.2" means a written document (usually a letter) that specifies the operational need for listening-in or recording of telephone conversations, indicates the specific system and location where it is to be performed, lists the number of telephones and/or recorders involved, establishes operating times and an expiration date, and justifies the use. It is signed by the agency head or the agency head's designee.

"Digital computer" means a computer that operates on a discrete data by performing arithmetic and logic processes on these data.

"Directive terms" include—

(a) "Directive" means a written communication that initiates or governs action, conduct, or procedure. Directives are often issued as circulars, notices, regulations, orders, and handbooks, and include materials usually issued to multiple addressees in multiple copies for insertion in policy, administrative, or operations manuals. News releases, program announcements, catalogs, price lists, training materials, and correspondence are not included.

(b) "Directives management" means the effective and efficient development and control of directives and

their distribution, maintenance, and use.

(c) "External directive" means officially prescribed guidance such as rules, notices, and regulations issued to a primary audience outside the originating agency.

(d) "Internal directive" means officially prescribed intra-agency policy or procedure, delegation of authority, or assignment of responsibility.

"Directives Management"—see "Directive terms."

"Driver"—see "Remote terminal emulation terms."

"Electronic features" means computer-controlled station equipment features of an electronic switching system (ESS) type telephone system, whether preprogramed or station-user activated by entering codes from the telephone set. Typical electronic features are call forwarding, call pickup, call hold, call park, speed calling, call queuing, etc.

"Electronic switching system (ESS)" means a computerized telephone system with software control that typically offers a variety of computer-controlled station equipment features called "electronic features." The term encompasses both computerized branch exchanges (CBX) with switching equipment located on the customer's premises and electronic switching systems (ESS), which typically have switching equipment located on the vendor's premises.

"Emergency traffic" means voice, data, or record traffic to emergency facilities or units, to local or State officials, and/or to controlling military or civil groups that have a direct bearing on the safety of life and property.

"Equipment performance specification for an ADP system" means a statement of minimum user output requirements such as (a) the amount of data that needs to be stored or processed within a given time, (b) the number of lines of print that must be produced over a given time, and (c) the operational reliability. The statement is supplemented to the extent necessary with (1) those hardware factors, devoid of as much vendor orientation as possible, such as cycle time, computing speed, tape read or write speed, printer speed, size of memory, expansibility (modularity), etc., and (2) the related software factors which are a measure of the operating capability of equipment. These factors when applied to the functional specifications, provide a quantitative measure of the operating time and capacity required to process the applications involved on that equipment.

"Essential traffic" means voice, data, or record traffic considered necessary to avoid a serious impact on an agency's mission or to provide support to units that are responsible for disaster control or relief.

"Evaluated optional features" means those technical requirements that are established by the Government but that do not have to be offered to be responsive (acceptable) to the specific solicitation. When set forth in a solicitation, all evaluated optional features must reflect the relative value of each feature to the Government. Each evaluated optional feature may be offered at the discretion of the offeror.

"Exception"—see "Form terms."

"Excess" means ADPE controlled by a Federal agency but not required for its needs and the discharge of its responsibilities as determined by the agency head.

"Exchange/sale ADPE" means Government-owned ADPE which is to be replaced pursuant to the exchange/sale authority contained in FPMR Part 101-46.

"External directive"—see "Directive terms."

"External reporting requirement"—see "Report terms."

"Facility"—see "Microform terms."

"Federal agency" means (a) any executive agency (executive department or independent establishment in the executive branch including any wholly owned Government corporation), or (b) any establishment in the legislative or judicial branch of the Government (except the Senate, the House of Representatives, and the Architect of the Capitol and any activities under the Architect's direction) (see 40 U.S.C. 472).

"Federal agency for purposes of Part 201-33" means, in addition to the general definition in § 201-2.001, Government grantees and contractors of Federal agencies who operate ADPE

under grants, contracts, or sucontracts and use the equipment in support of these grants, contracts, or subcontracts when ADPE is:

(a) Leased and the total cost of leasing is reimbursed under one or more Government contracts or grants; or

(b) Acquired by a contractor or grantee under a contract or grant pursuant to the terms of which title is either vested in the Government or the Government is obligated or has the option to take over title; or

(c) Furnished to the grantee or contractor by the Government; or

(d) Installed in Government-owned, contractor-operated facilities.

"Federal Data Processing Center (FDPC)" means a data processing center, operated either by GSA or by another agency under a delegation of authority from the Administrator of General Services, performing a variety of data processing or related services for two or more Federal agencies.

"Federal Software Exchange Center (FSEC)"—see "Software terms".

"File" means an arrangement of records. The term is used to denote papers, photographs, photographic copies, maps, machine-readable information, or other recorded information regardless of physical form or characteristics, accumulated or maintained in filing equipment, boxes, or machine-readable media, or on shelves, and occupying office or storage space.

"Firmware" means any ADP hardware-oriented programing at the basic logic level of the computer that is used for machine control, error recovery, mathematical functions, applications programs, engineering analysis programs, and the like. Included are firmware that is furnished with ADPE, commercially available proprietary firmware that is acquired separately from ADPE, and all related vendor documentation and manuals.

"Flat envelope"—see "Stationery terms."

"Form terms" include—

(a) "Form" means a fixed arrangement of captioned spaces designed for entering and extracting prescribed information, including ADP systems forms. (See definition of non-form item.) Examples of ADP systems forms are:

(1) Paper forms designed to collect data for computer input; and

(2) Form layouts that are:

(i) Preprinted on continuous-feed computer paper;

(ii) Contained on overlays used to generate formatted computer outputs; or

(iii) Programed by a Federal agency and printed by a computer.

(b) "Format" means a guide, table, sample, or exhibit that illustrates a predetermined arrangement or layout for presenting data.

(c) "Exception" means GSA approval for an agency to change the content, format or printing specifications of a Standard or Optional form. (Exceptions are not deviations.) Content exceptions apply to Standard forms only, while format and printing exceptions apply to both Standard and Optional forms.

(1) Content exceptions are changes to the data elements of a form (i.e., additions, deletions, or revisions).

(2) Format exceptions are changes made by rearranging the data elements or spacing of entries on a form without change to the data elements.

(3) Printing exceptions are changes in the printing specifications of a form (e.g., changes to paper, including size, and the establishment of sets and marginally-punched constructions) that result in no changes in content or format.

(d) "Non-form item" means a printed product without spaces for entering information. Such items (instruction sheets and bulletins, pamphlets, notices, contract clause sheets, placards, certain tags and labels, pattern letters, guide letters, and form letters, etc.) may be assigned form numbers and controlled through the forms management program for referencing, printing, stocking, and distributing, but are excluded from statistical reporting of forms, and are identified as non-form or other items.

(e) "Optional form" means a form developed by a Federal agency for use in two or more agencies and approved by GSA for nonmandatory Governmentwide use.

(f) "Overprinting" means the printing of pertinent identical entries (e.g., agency name and address, accounting

codes and organization codes) in a captioned area on a Standard or Optional form. Overprints are not exceptions.

(g) "Promulgating agency" means any Federal agency that develops a Standard form as defined in this § 201-2.001 and prescribes the mandatory Governmentwide use of that form in a regulation.

(h) "Public-use report form" means a form that is used to gather information from the public or from State or local governments.

(i) "Report form" means a special category of form that is designed for collecting identical information from persons or organizations either inside or outside the collecting agency.

(j) "Sponsoring agency" means any Federal agency that develops an Optional form as defined in this § 201-2.001.

(k) "Standard form" means a form prescribed by a Federal agency, pursuant to its authority, and approved by GSA for mandatory Governmentwide use.

"Format"—see "Form terms."

"Full and open competition" means that all responsible sources are permitted to submit sealed bids or competitive proposals on the procurement. (41 U.S.C. 403(7))

"Full cost for purposes of OMB Circular A-121" means all significant expenses incurred in the operation of a data processing facility. The following cost elements are included:

(a) Personnel—including salaries, overtime, and fringe benefits (both funded and unfunded) of civilian and military personnel; training; and travel.

(b) Equipment—including depreciation for owned capitalized equipment, rental cost, leased costs, and direct expenses for non-capitalized equipment.

(c) Software—including depreciation for capitalized costs of developing, converting, or acquiring software; rental costs for software; and direct expenses for non-capitalized acquisition of software.

(d) Supplies—including office supplies, data processing materials, and miscellaneous expenses.

(e) Contracted services—including technical and consulting services, equipment maintenance, data entry support, operations support, maintenance of multipurpose and operating system software and telecommunications network services.

(f) Space occupancy—including rental and depreciation of buildings, general office furniture, and equipment, building maintenance; heating, air conditioning, and other utilities expenses; telephone charges; and building security and custodial services.

(g) Intra-agency services and overhead—including the costs of normal agency support services, either billed or allocated.

(h) Interagency services—including the costs of services provided by other agencies and departments, whether reimbursed or estimated.

"Functional ADP system specification" means the delineation of the program objectives based on mission needs in a form that the ADP system is intended to accomplish and the data processing requirement underlying that accomplishment. The latter includes a description of the data output and its intended uses, the data input, the data files and record content, the volumes of data, the processing frequencies, timing, and such other facts as may be necessary to provide for a full description of the ADP mission need to be satisfied.

"Functional telecommunication system specifications" means: (a) The delineation of the requirements that the system is intended to satisfy and (b) the assumptions and facts underlying the requirements. The actual specification depends on the type of system to be procured; e.g., voice system, data system, or data service.

"General management computer for purposes of OMB Circular A-121" means a digital computer which is used for any purpose other than as a part of a process control, combat weapon, space, or mobile system.

"Government contractor, as used in Subpart 201-6.1" means any individual or other entity who provides by a contract for the operation by or on behalf of an agency of a system of records to accomplish an agency function.

"Grants" means grants-in-aid. Grants-in-aid are grants or subsidies from public resources in aid of public undertakings.

"Hold" means a reservation placed on reported excess ADPE by GSA in response to a request by a Federal agency.

"Holding agency" means the Federal agency which has accountability for the property involved.

"Hybrid computer" means a computer for data processing using both analog representation and discrete representation of data.

"Individual, as used in Subpart 201-6.1" means a citizen of the United States or an alien lawfully admitted for permanent residence.

"Information processing resource" means general purpose ADPE as defined in § 201-2.001, special purpose equipment that is excluded under paragraphs (b)(1) of the definition of ADPE, and the software terms defined in § 201-2.001. (An example of special purpose equipment is "office information system equipment" that is designated as Federal Supply Class (FSC) 7435 in ADP nonmandatory schedule contracts.)

"Intercity data, facsimile, and record telecommunication services" means services which are used primarily to send and/or receive data, facsimile, and record telecommunication transmissions to a location or locations outside the local dialing area in which the transmission originates. This definition includes data, facsimile, and record telecommunication services used for local access to a commercial or Government-provided intercity network. It excludes those telecommunication services integral to the Teleprocessing Services Program (TSP). Severable telecommunication services for the TSP are included.

"Internal directive"—see "Directive terms."

"Internal emulation"—see "Remote terminal emulation terms".

"Joint utilization" means the use by two or more organizations, under an agreement, of the same ADP facility with either a common staff or separate staffs, where the data processing needs of the partners are served exclusively.

"Letterhead"—see "Stationery terms."

"Lettersize envelopes"—see "Stationery terms."

"Listening-in devices, as used in Subpart 201-6.2" means such devices that can intercept any telephone communication and be used to listen-in or record telephone conversations without the knowledge of one or more of the parties to the conversation.

"Local data, facsimile, and record telecommunication services" means services which are used exclusively to send and/or receive data, facsimile, and record telecommunication transmissions to a location or locations within the local dialing area in which the transmission originates.

"Local dialing area" means the geographical area within which a telephone call can be made for which no commercial long distance toll charge or other similar charge can be assessed.

"Lowest overall cost" means the least expenditure of funds over the system/item life, price and other factors considered. Lowest overall costs shall include purchase price, lease or rental prices, or service prices of the contract actions involved, other factors, and other identifiable and quantifiable costs that are directly related to the acquisition and use of the system/item; e.g., personnel, maintenance and operation, site preparation, energy consumption, installation, conversion, system start-up, contractor support, and the present value discount factor (see also § 201-24.208). The quantifiable cost of conducting the contracting action and other administrative costs directly related to the acquisition process are included.

"Lowest overall cost for purposes of telecommunication acquisition" means the least expenditure of funds over the systems or items life, price and other factors considered. Lowest overall costs shall include, but shall not be limited to, such elements as personnel, purchase price or rentals, maintenance, site preparation and installation, programing, and training.

"Mail" means letters, telecommunications, memoranda, post cards, documents, packages, publications, and other communications received for distribution or dispatch.

"Mailing list" means an automated address list maintained by GSA for dissemination of the ADPE Availabil-

ity List. Federal agencies (as defined in § 201-2.001 for purpose of Part 201-33) that are eligible for transfer of excess ADPE may request placement on the mailing list.

"Maintain, as used in Subpart 201-6.1" means maintain, collect, use, and disseminate.

"Maintenance services" means those examination, testing, repair, or part replacement functions performed to (a) reduce the probability of ADPE malfunction (commonly referred to as "preventive maintenance"), (b) restore to its proper operating status a component of ADPE that is not functioning properly (commonly referred to as "remedial maintenance"), or (c) modify the ADPE in a minor way (commonly referred to as "field engineering change" or "field modification").

"Mandatory requirements" means those contractual conditions and technical specifications that are established by the Government as being essential to meet the Government's needs. When set forth in a solicitation, the mandatory requirements must be met for the offer to be considered responsive (acceptable).

"Manifold carbon tissue set"—see "Stationery terms."

"Match list" means a GSA maintained list of agency requested outdated ADPE that will be screened against reported outdated ADPE.

"Microfilm"—see "Microform terms."

"Microform terms" include—

(a) "Computer Output Microform (COM)" means microforms containing data produced by a recorder from computer generated signals.

(b) "Facility" means an area set aside for equipment and operations required in the production or reproduction of microforms either for internal use or for the use of other organizational elements of the Federal Government.

(c) "Microfilm" means (1) Raw (unexposed and unprocessed) film with characteristics that make it suitable for use in micrographics;

(2) The process of recording microimages of film; and

(3) A fine grain, high resolution photographic film containing an image greatly reduced in size from the original.

(d) "Microform" means a term used for any form containing microimages.

(e) "Micrographics" means the science and technology of document and information microfilming and associated microform systems.

(f) "Microimage" means a unit of information, such as a page of text or a drawing, that has been made too small to be read without magnification.

(g) "Micrographics system" means a configuration of equipment and procedures for the production, reproduction, maintenance, storage, retrieval, display, or use of microforms. A micrographics system may involve one or more, but not necessarily all, of the functions listed above.

"Micrographics"—see "Microform terms."

"Micrographics system"—see "Microform terms."

"Microimage"—see "Microform terms."

"Minimize" means an administrative control procedure that restricts or limits voice, data, and record traffic over the FTS to certain areas during an emergency or disaster to facilitate the handling of emergency and essential voice, data, and record traffic.

"Monitor"—see "Remote terminal emulation terms".

"Nonconsensual, as used in Subpart 201-6.2" means that none of the parties to a telephone conversation has given consent to the interception or recording of the conversation.

"Non-form items"—see "Form terms."

"Operating document"—see "Report terms."

"Optional form"—see "Form terms."

"Outdated ADPE" means any ADPE that is over eight years old (based on the initial commercial installation date of the equipment) and is no longer in current production.

"Overprinting"—see "Form terms."

"Performance validation of an ADP equipment system" means the technical verification of the ability of a proposed ADPE configuration or replacement component (such as a new Central Processing Unit (CPU) or a new external data storage subsystem) to handle agency-specified workload vol-

73-134 O—86——2

umes (present and expected) within agency-determined performance time constraints. Examples of ADPE performance validation techniques include:

(a) Timed execution of the existing agency programs, transactions and data files on the proposed equipment;

(b) Execution with synthetically-generated workloads;

(c) Remote terminal emulation with simulated on-line workloads;

(d) Acceptance testing with present operational software, data files and workloads;

(e) "Stress testing" with exaggerated workload volumes;

(f) Modeling of the interaction of the new ADPE and its workload;

(g) Benchmarking as defined in FIPS PUBS 42-1 and 75; and

(h) Simulation modeling of ADP equipment system performance, defined to mean the development and use of computer models for the study of actual or postulated ADP workloads on simulated ADP equipment systems.

"Physical security" means the sum of construction features and the use of locks, safeguards, badges, and similar measures to control access to a facility (location). It includes the measures required to protect personnel and property, including the structures housing the computer, their contents, and related equipment, from (but not limited to) damage by accident, fire, loss of utilities, environmental hazards, and unauthorized access.

"Project grants" means grants made to specific institutions and organizations for a specific purpose with established costs and termination dates.

"Public-use report form"—see "Form terms."

"Reassignment" means the transfer of ADPE other than excess within an agency when it is no longer needed for the purpose or use for which it was originally acquired.

"Recoding"—see "Software terms".

"Record, as used in Subpart 201-6.1" means any item, collection, or grouping of information about an individual that is maintained by an agency, including (but not limited to) the individual's education, financial transactions, medical history, and criminal or employment history and that contains the name, identifying number, symbol, or other identifying particular assigned to the individual, such as a finger or voice print or a photograph.

"Records, as used in Parts 201-22 and 201-45", means all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical forms or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included. (44 U.S.C. 3301).

"Records equipment and supplies," means file cabinets, shelf files, mail handling equipment, visible files, mechanized files, file guides, folders, jackets, wallets, microforms, magnetic tape, magnetic disks, and all similar items used in the creation and maintenance of records and in mail handling. It does not include general purpose ADPE or telecommunications equipment.

"Records management" means the planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations (44 U.S.C. 2901(2)).

"Related ADPE supplies" means consumable items designed specifically for use with ADPE, such as computer tape, ribbons, punch cards, and tabulating paper.

"Remote terminal emulation"—see "Remote terminal emulation terms".

"Remote terminal emulation terms" include—

(a) "System under test (SUT)" means an ADP system or component thereof whose performance is being validated during the acquisition process.

(b) "Internal emulation" means a technique used for teleprocessing performance validation in which the teleprocessing workload is introduced from software running internal to the SUT, either in the central processing unit, the communications front end, or, when the architecture supports it, some other processor configured as a part of the SUT.

(c) "Remote terminal emulation" means a technique for teleprocessing performance validation in which the driver and monitor components are implemented external to and independent of the SUT.

(d) "Driver" means a remote terminal emulation component, external to the SUT which introduces specified workload demands to the ADP system being tested.

(e) "Monitor" means a remote terminal emulation component, external to the SUT, which records data descriptive of the remote terminal emulator/SUT interaction.

(f) "Remote terminal emulator (RTE)" means a specific hardware and software implementation of a teleprocessing workload driver (a monitor may or may not be an integral part of an RTE).

"Remote terminal emulator"—see "Remote terminal emulation terms".

"Report terms" include—

(a) "External reporting requirement" means a reporting requirement placed upon the public or a State or local government.

(b) "Interagency report" means a reporting requirement imposed by an agency on one or more other agencies. Operating documents are excluded.

(c) "Interagency reports coordinator" means the official appointed by the agency senior official designated under the Paperwork Reduction Act of 1980

to —

(1) Serve as the liaison between agency offices and components, other agencies, and GSA on interagency reporting matters;

(2) Clear and evaluate each request for a new, revised, or extended interagency report before signing and submitting Standard Form 360, Request for Clearance of an Interagency Reporting Requirement;

(3) Coordinate the agency response to requests from other agencies for cost estimates of new or revised interagency reports; and

(4) Maintain the official agency records on interagency reports.

(d) "Internal reporting requirement" means any requirement that involves reports prepared and used solely within a department or agency covered by Title 44, United States Code.

(e) "Operating document" means a completed form or other document used to facilitate, accomplish, or provide a description or record of a transaction, function, or event. The information in an operating document may provide data (or input) for a report, but that is not its primary purpose. Examples are application forms, purchase orders, bills of lading, personnel actions, inspection or audit reports, and reports that involve direct command and control of military forces or cryptological activities related to national security.

(f) "Reporting" means the process by which data or information for a report is collected, organized, transmitted, and retained.

(g) "Report" means data or information which is transmitted for use in determining policy; planning, controlling, and evaluating operations and performance, making administrative decisions or preparing other reports. The data or information may be in narrative, statistical, graphic, or other form and may be on paper, magnetic tape, or other media.

"Reprogramming"—see "Software terms".

"Responsible source" means a prospective contractor who:

(a) Has adequate financial resources to perform the contract or the ability to obtain such resources;

(b) Is able to comply with the required or proposed delivery or performance schedule, taking into consid-

eration all existing commercial and Government business commitments;

(c) Has a satisfactory performance record;

(d) Has a satisfactory record of integrity and business ethics;

(e) Has the necessary organization, experience, accounting and operational controls, and technical skills, or the ability to obtain such organization, experience, controls, and skills;

(f) Has the necessary production, construction, and technical equipment and facilities, or the ability to obtain such equipment and facilities; and

(g) Is otherwise qualified and eligible to receive an award under applicable laws and regulations. (41 U.S.C. 403(8))

"Re-utilization" means the subsequent use of ADPE after such ADPE is no longer required for the purpose for which it had been acquired.

"Rules of conduct, as used in Subpart 201-6.1" means those administrative procedures, methods of work, and standards of conduct that together define the manner in which persons involved in the design, development, operation, or maintenance of systems of records will design, maintain, collect, use, or disseminate the records.

"Safeguards, as used in Subpart 201-6.1" means those procedures, methods, and devices that have as their specific function the prevention or mitigation of the effects of threats and hazards to a system of records on individuals to accomplish an executive agency function subject to the Privacy Act.

"Security specifications, as used in Part 201-7" means a detailed description of the safeguards required to protect a sensitive computer application or telecommunication system.

"Selection plan" means criteria and systematic procedures established to enable the Government to measure the proposal of an offeror against the requirements of the Government as set forth in the solicitation document. These criteria shall be based on the Government's requirements and shall not be equipment- or vendor-oriented, except where a brand name or equal specification or specific make and model specification is needed to express the requirement adequately.

"Sensitive application system, as used in Part 201-7" means those ADP and telecommunication systems that require a degree of protection. The protection is required because these systems process sensitive data; the risk of loss or harm that could result from data disclosure, modification, or destruction is substantial; or the improper operation of the software or equipment related to the application system would have a serious effect on the ability of the agency to function. Examples of sensitive applications systems are (a) automated systems with little or no human intervention; e.g., check-issuing systems; (b) systems that process privileged information; e.g., proprietary data and economic forecasts; (c) systems that process personal information subject to the Privacy Act of 1974; and (d) systems where the loss or harm would be such that the organization could not effectively perform its mission and would have a substantial adverse effect on the Nation.

"Sensitive data, as used in Part 201-7" means data that require a degree of protection due to the risk and magnitude of loss or harm that could result from inadvertent or deliberate disclosure, alteration, or destruction of the data.

"Services, ADP"—see "ADP services".

"Software"—see "Software terms".

"Software conversion"—see "Software terms".

"Software redesign"—see "Software terms".

"Software terms" include—

(a) "Software" means computer programs, procedures, rules or routines specifically designed to make use of and extend the capabilities of ADPE and includes operating systems, assemblers, compilers, interpreters, data base management systems, utility programs, sort-merge programs, maintenance-diagnostic programs, and applications programs. The term encompasses operating systems software, independent subroutines, related groups of routines, sets or systems of programs, software documentation, firmware (see definition, this section) and computer data bases whether Government-owned or commercially available.

(b) "Commercially available software" means software that is available through lease or purchase in the commercial market from a concern representing itself to have ownership or marketing rights in the software. Software that is furnished as part of the ADP system but that is separately priced, is included.

(c) "Application software" means a series of instructions or statements in a form acceptable to a computer, designed to cause the computer to execute an operation or operations necessary to process requirements (such as payroll, inventory control, or automatic test and engineering analysis). Application software may be either machine-dependent or machine-independent, and may be general-purpose in nature or be designed to satisfy the requirements of a specialized process or a particular user.

(d) "Computer data base" means a stored collection of data in a form capable of being processed and operated on or by a computer; i.e., the elements of stored data used by a computer in responding to a computer program.

(e) "Computer software documentation" means recorded information including computer listings and printouts that (1) documents the design or details of computer software, (2) explains the capabilities of the software, (3) provides data for testing the software, or (4) provides operating instructions.

(f) "Software conversion" means the transformation, without functional change, of computer programs or data elements to permit their use on a replacement or changed ADP equipment or teleprocessing service system.

(g) "Software redesign" means any change to software that involves a change in the functional specifications for that software.

(h) "Reprograming" means any change to software that deviates from the design specifications for that software but preserves the functional requirements of the user.

(i) "Recording" means a manual change to software on a line-for-line basis that preserves both the functional requirements and software design specifications.

(j) "Automated translation" means changes to software including machine-processed recoding that preserve both the functional requirements and software design specifications to the extent that no changes are apparent to the user.

(k) "Common-use software" means that portion of software which deals with problems common to many agencies, that would be useful to other agencies, and is written in such a way that minor variations in requirements can be accommodated without significant programing effort. Examples of such software are: Management business applications, computer systems support and utility programs, simulators, scientific or engineering applications, programing aids which are application-independent, and bibliographic or textual programs.

(l) "Federal Software Exchange Center (FSEC)" means an organization established pursuant to the authority of the Administrator of General Services for the collection, announcement, bibliographic control, and dissemination of common-use software among Federal agencies.

(m) "Computer program" means an identifiable series of instructions or statements, in a form acceptable to a computer, prepared to achieve a certain result.

"Specific make and model specification" means a description of a Government requirement that is expressed in a form so restrictive that only the specified make and model will satisfy the Government's needs, irrespective of the number of suppliers that may be able to furnish the specific make and model.

"Sponsoring agency"—see "Form terms."

"Standard form"—see "Form terms."

"Standard terminology" means that language which is used in requirements statements, incorporated in requirements documents, including those used in purchase agreements, solicitations, and offers for acquisitions of ADP and telecommunication equipment, services, and related software to ensure conformance with Federal Information Processing and Federal Telecommunication Standards.

"Stationery terms" include—

(a) "Continuation sheet" means the second or succeeding page of a letter.

(b) "Flat envelope," also called "oversize" envelope, means a rectangular envelope that exceeds one or more of the maximum dimensions for lettersize envelopes, but does not exceed 15 inches in length, or 12 inches in height, or .75 inches in thickness.

(c) "Letterhead" means paper, showing agency identification, used for official correspondence. Identification includes name, acronym, logo, seal, code, and/or address affixed by printing, engraving, embossing, typing, stamping, or other labeling.

(d) " Lettersize envelope" means a rectangular envelope with minimum dimensions of 5 inches in length, 3.5 inches in height, and .007 inch thickness and maximum dimensions of 11.5 inches in length, 6.125 inches in height, and .25 inch in thickness.

(e) "Manifold carbon tissue set" means a tissue sheet attached to a one-time carbon sheet and is commonly called "tissue."

(f) "Stationery" means paper products used in correspondence, such as letterhead, continuation sheets, manifold carbon tissue sets, carbon paper, carbonless paper, memoranda, post cards, and envelopes.

"Support services, ADP"—see "ADP support services".

"Surplus" means any excess Government-owned ADPE not required for the needs and the discharge of the responsibilities of all Federal agencies as determined by the Administrator of General Services.

"System/item life" means a forecast or projection of the period of time that begins with the installation of the system/item and ends when the Government's need for that system/item has terminated. System/item life is established by the initial acquiring agency on the basis of its requirement and predicted reuse. System/item life is not necessarily synonymous with technological life (utility before becoming obsolete), physical life (utility before physically wearing out), or application life (utility in a given function).

"System of records on individuals, as used in Part 201-6" means a group of any records under the control of any agency from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual.

"System under test (SUT)"—see "Remote terminal emulation terms".

"Telecommunication facilities" means equipment used for such modes of transmission as telephone, telegraph, teletypewriter, data, facsimile, telephotograph, video, audio, and such corollary items as distribution systems and communications security facilities.

"Telecommunications services" means the transmission, emission, or reception of signals, signs, writing, images, sounds, or intelligence of any nature, by wire, cable, satellite, fiber optics, laser, radio, visual, or other electronic, electric, electromagnetic, or acoustically coupled means. The term can include necessary "telecommunication facilities".

"Threats and hazards, as used in Subpart 201-6.1" means man-made or natural events the occurrence of which may result in the loss, alteration, or unauthorized access to data in a system of records on individuals to accomplish an executive agency function subject to the Privacy Act.

"Transfer" means:

(a) conveyance of leased excess ADPE from one Federal agency to another Federal agency, or to the ADP Fund, under the applicable contract provisions;

(b) Conveyance of Government-owned excess ADPE from one Federal agency to another Federal agency or to the ADP Fund;

(c) Conveyance of exchange/sale ADPE from one Federal agency to another Federal agency, or to the ADP Fund; or

(d) Conveyance of ADP Fund equipment to a Federal agency.

"User" means an organizational or programmatic entity which receives service from a data processing facility. A user may be either internal or external to the agency or agency organization responsible for the facility.

"Validation of compilers" means the process of testing a given compiler against certain predetermined conditions and specifying which, if any, conditions are met.

"Want list" means an inventory of ADPE requirements maintained by GSA on the basis of needs expressed by Federal agencies for which demand may be potentially satisfied from excess or exchange/sale ADPE when reported.

"Withdrawal" means a request for cancellation of a report of excess ADPE.

[FIRMR Amdt. 1, 50 FR 4334, Jan. 30, 1985, as amended by FIRMR Amdt. 2, 50 FR 26365, June, 26, 1985; FIRMR Amdt. 3, 50 FR 26910, June 28, 1985; FIRMR Amdt. 4, 50 FR 27145, 27147, July 1, 1985; 50 FR 28208, July 11, 1985; FIRMR Amdt. 7, 51 FR 9958, Mar. 24, 1986]

PARTS 201-3—201-5 [RESERVED]

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SUBCHAPTER B—PREDOMINANT CONSIDERATIONS

PART 201-6—PROTECTION OF PERSONAL PRIVACY

Sec.
201-6.000 Scope of part.
201-6.001 Definitions.

Subpart 201-6.1—Protection of Individual Privacy

201-6.101 Applicability.
201-6.102 Requirements.
201-6.103 Interagency services.
201-6.103-1 User agency responsibilities.
201-6.103-2 Provider agency responsibilities.
201-6.104 Implementation in contracts.

Subpart 201-6.2—Listening-in or Recording of Telephone Conversations

201-6.201 Applicability.
201-6.202 General.
201-6.202-1 Nonconsensual listening-in or recording.
201-6.202-2 Consensual listening-in or recording.
201-6.203 Agency responsibilities.
201-6.204 GSA responsibilities.
201-6.205 Use of line identification equipment.

AUTHORITY: Sec. 205(c), 63 Stat. 390; 40 U.S.C. 486(c).

SOURCE: FIRMR Amdt. 1, 50 FR 4339, Jan. 30, 1985, unless otherwise noted.

§ 201-6.000 Scope of part.

This part prescribes policies and procedures that apply requirements of the Privacy Act of 1974 (5 U.S.C. 552a) and OMB Circular No. A-108, July 9, 1975, as supplemented, to ADP and telecommunications service arrangements involving, or potentially involving a system of records on individuals. This part also provides policies and procedures regarding listening-in or recording of telephone conversations.

§ 201-6.001 Definitions.

"Agency, as used in Subpart 201-6.1" is defined in 5 U.S.C. 551(1). It means any executive department, military department, Government corporation, Government-controlled corporation, or other establishment in the executive branch of the Government (including the Executive Office of the President), and any independent regulatory agency.

"Government contractor, as used in Subpart 201-6.1" means any individual or other entity who provides by a contract for the operation by or on behalf of an agency of a system of records to accomplish an agency function.

"Individual, as used in Subpart 201-6.1" means a citizen of the United States or an alien lawfully admitted for permanent residence.

"Maintain, as used in Subpart 201-6.1" means maintain, collect, use, and disseminate.

"Record, as used in Subpart 201-6.1" means any item collection, or grouping of information about an individual that is maintained by an agency, including, but not limited to, the individual's education, financial transactions, medical history, and criminal or employment history and that contains the name, identifying number, symbol, or other identifying particular assigned to the individual, such as a fingerprint or voice print or a photograph.

"Rules of conduct, as used in Subpart 201-6.1" means those administrative procedures, methods of work, and standards of conduct that together define the manner in which persons involved in the design, development, operation, or maintenance of systems of records will design, maintain, collect, use, or disseminate the records.

"Safeguards, as used in Subpart 201-6.1" means those procedures, methods, and devices that have as their specific function the prevention or mitigation of the effects of threats and hazards to a system of records on individuals to accomplish an executive agency function subject to the Privacy Act.

"Systems of records on individuals, as used in Subpart 201-6.1" means a group of any records under the control of any agency from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual.

"Threats and hazards, as used in Subpart 201-6.1" means man-made or natural events, the occurrence of

which may result in the loss, alteration, or unauthorized access to data in a system of records on individuals to accomplish an executive agency function subject to the Privacy Act.

"Consensual, as used in Subpart 201-6.2" means that one party to a telephone conversation has given prior consent to the interception or recording of the conversation.

"Determination, as used in Subpart 201-6.2" means a written document (usually a letter) that specifies the operational need for listening-in or recording of telephone conversations, indicates the specific system and location where it is to be performed, lists the number of telephones and/or recorders involved, establishes operating times and an expiration date, and justifies the use. It is signed by the agency head or the agency head's designee.

"Listening-in devices, as used in Subpart 201-6.2" means such devices that can intercept any telephone communication and be used to listen-in or record telephone conversations without the knowledge of one or more of the parties to the conversation.

"Nonconsensual, as used in Subpart 201-6.2" means that none of the parties to a telephone conversation has given consent to the interception or recording of the conversation.

Subpart 201-6.1—Protection of Individual Privacy

§ 201-6.101 Applicability.

This subpart applies only to agencies as defined in § 201-6.001.

§ 201-6.102 Requirements.

(a) The Privacy Act of 1974 sets forth certain safeguards to protect personal privacy by requiring agencies to abide by the provisions of the Act. Keeping only an essential minimum of records is the most effective protection against further incursions into personal privacy and is a major goal of the Act. Agencies shall also comply with § 201-32.302 and FAR Subpart 24.1, Protection of Individual Privacy when acquiring ADP equipment, software, maintenance, or services and/or telecommunications equipment, maintenance, or services.

(b) The Privacy Act of 1974 requires each agency that maintains a system of records to do the following:

(1) Maintain in its records only that information about an individual as is relevant and necessary to accomplish a purpose of the agency required to be accomplished by statute or by executive order of the President (5 U.S.C. 552a(e)(1)). Thus, protection of privacy is promoted by limiting the amount of information maintained.

(2) Establish rules of conduct for persons involved in the design, development, operation, or maintenance of any system of records or in maintaining any record, and instruct each such person with respect to those rules and the requirements of this section, including rules and procedures adopted pursuant to this section and the penalties for noncompliance (5 U.S.C. 552a(e)(9)).

(3) Establish appropriate administrative, technical, and physical safeguards to ensure the security and confidentiality of records and to protect against any anticipated threats or hazards to their security or integrity that could result in substantial harm, embarrassment, inconvenience, or unfairness to any individual on whom information is maintained (5 U.S.C. 552a(e)(10)). It should be noted that the development of appropriate safeguards will necessarily be tailored to the requirements of the system of records being maintained. In addition, the need to provide safeguards may be influenced by other considerations, such as ensuring continuity of agency operations, protecting proprietary data, protecting national security information, and ensuring accuracy and reliability of information.

(c) Guidelines and a definition of responsibilities for implementing the Privacy Act are described in the Office of Management and Budget (OMB) Circular No. A-108, dated July 1, 1975, and its supplements.

§ 201-6.103 Interagency services.

Special considerations and responsibilities apply in those instances in which one agency (the user agency)

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makes use of services or equipment provided, operated, managed, or administered by another (the provider agency) in the course of maintaining or operating systems of records. These instances include services obtained through sharing and the Federal Data Processing Centers (see Part 201-31.)

§ 201-6.103-1 User agency responsibilities.

A user agency shall—

(a) Make all reports and notices required under OMB Circular No. A-108 and supplements;

(b) Determine its data confidentiality and security requirements before storing, processing, or transmitting systems of records at a provider agency's facility;

(c) Include in its screening of ADP and telecommunications services and equipment resources an examination of the ability of each (provider agency) resource to meet user agency's data confidentiality and security requirements (specifically, the adequacy of available technical, administrative, and physical safeguards to counter anticipated threats and hazards must be eva'uated);

(d) Satisfy itself that the rules of conduct governing the activities of personnel of the provider agency are commensurate with user agency's data confidentiality and security requirements;

(e) Obtain services from only those provider agencies that fully meet the user agency's data confidentiality and security requirements;

(f) Recognize that the records the user agency transmits, stores, or processes at the facility of a provider agency will be considered to be maintained by the user agency; and

(g) Establish written rules governing the disclosure by a provider agency of records considered to be maintained by the user agency.

§ 201-6.103-2 Provider agency responsibilities.

A provider agency shall—

(a) As specified in § 201-6.102(b), develop rules of conduct for personnel involved in the design, development, operation, or maintenance of equipment, systems, or services used to store, process, or transmit systems of records;

(b) In accordance with § 201-6.102(b), undertake a continuing program of review of its operations to ensure that threats and hazards to data confidentiality and security are properly identified and that appropriate safeguards are implemented;

(c) Make available rules of conduct and information on safeguards to user agencies;

(d) Refrain from disclosing any records stored, processed, or transmitted for a user agency except to that agency or under written rules established and provided by that user agency; and

(e) Make known to user agencies changes in its perception of threats and hazards to data confidentiality and security or any changes in the safeguards implemented to protect against those threats and hazards. User agencies may use information on such changes to reevaluate their usage of the provider agency's services or equipment.

§ 201-6.104 Implementation in contracts.

Contract clauses are prescribed in Part 201-32 for use when an agency contracts for the design, development, operation, or maintenance of a system of records on individuals to accomplish an agency function. See also FAR Subpart 24.1.

Subpart 201-6.2—Listening-in or Recording of Telephone Conversations

§ 201-6.201 Applicability.

This subpart applies to Federal agencies as defined in § 201-2.001.

§ 201-6.202 General.

(a) Federal agencies may listen-in or record telephone conversations only under limited circumstances. This Subpart 201-6.2 describes the circumstances and prescribes policies that limit the practice within the Federal government.

(b) The provisions of the subpart do not apply to telecommunications monitoring conducted in accordance with Executive Order 12036 dated January

24, 1978 (3 CFR). Nothing in this regulation shall be construed as authorization for the listening-in or recording of any telephone conversations for the purpose of committing any criminal or tortious act in violation of the Constitution or the laws of the United States.

§ 201-6.202-1 Nonconsensual listening-in or recording.

Nonconsensual listening-in or recording of telephone conversations shall be authorized and handled in accordance with the requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended (18 U.S.C. 2510 et seq.), and the Foreign Intelligence Surveillance Act of 1978 (50 U.S.C. 1801 et seq.).

§ 201-6.202-2 Consensual listening-in or recording.

Consensual listening-in or recording of telephone conversations on the Federal Telecommunications System (FTS) or any other telephone system approved in accordance with the Federal Property and Administrative Services Act of 1949, section 201(a) (1) and (3) (40 U.S.C. 481(a) (1) and (3)), and implementing regulations thereof is prohibited except under the following conditions:

(a) When performed for law enforcement purposes in accordance with procedures established by the agency head, as required by the Attorney General's Guidelines for Administration of the Omnibus Crime Control and Safe Streets Act of 1968, and in accordance with procedures established by the Attorney General.

(b) When performed for counter-intelligence purposes and approved by the Attorney General or the Attorney General's designee.

(c) When performed by any Federal employee for public safety purposes and when documented by a written determination of the agency head or the designee citing the public safety needs. The determination must identify the segment of the public needing protection and cite examples of the hurt, injury, danger, or risks from which the public is to be protected. Examples of these practices are police and fire department operations, air traffic safety control, and air/sea rescue operations.

(d) When performed by a handicapped employee, provided a physician has certified (and the head of the agency or designee concurs) that the employee is physically handicapped and the head of the agency or designee determines that the use of a listening-in or recording device is required to fully perform the duties of the official position description. Equipment shall be for the exclusive use of the handicapped employee. The records of any interceptions by handicapped employees shall be used, safeguarded, and destroyed in accordance with appropriate agency records management and disposition systems.

(e) When performed by any Federal agency for service monitoring but only after analysis of alternatives and a determination by the agency head or the agency head's designee that monitoring is required to effectively perform the agency mission. Strict controls must be established and adhered to for this type of monitoring. (See § 201-6.203 on agency responsibilities for minimal procedures.)

(f) When performed by any Federal employee with the consent of all parties for each specific instance. This includes telephone conferences, secretarial recording, and other acceptable administrative practices. Strict supervisory controls shall be maintained to eliminate any possible abuse of this privilege. The agency head or the agency head's designee shall be informed of this capability for listening-in or recording telephone conversations.

§ 201-6.203 Agency responsibilities.

Each agency shall ensure that:

(a) All listening-in or recording of telephone conversations as described in § 201-6.202-2(c), (d), or (e) shall have a written determination approved by the agency head or the agency head's designee before operations commence.

(b) Service personnel who monitor listening-in or recording devices under § 201-6.202-2(e) shall be designated in writing. They shall be provided with written policies covering telephone

conversation monitoring. These policies shall contain at a minimum the following instructions:

(1) No telephone call shall be monitored unless the Federal agency has taken continuous positive action to inform the callers of the monitoring.

(2) No data identifying the caller shall be recorded by the monitoring party.

(3) The number of calls to be monitored shall be kept to the minimum necessary to compose a statistically valid sample.

(4) Agencies using telephone instruments that are subject to being monitored shall conspicuously label them with a statement to that effect.

(5) Since no identifying data of the calling party will be recorded, information obtained by the monitoring shall not be used against the calling party.

(c) Current copies and subsequent changes of agency documentation, determinations, policies, and procedures supporting operations under § 201-6.202-2 (c), (d), or (e) shall be forwarded before the operational date to the General Services Administration (KMPP), Washington, DC 20405. Specific telephones shall be identified in the documentation and/or determination to prevent any possible abuse of the authority.

(d) Procedures for monitoring performed under § 201-6.202(a) (law enforcement) shall contain at a minimum—

(1) The identity of an agency official who is authorized to approve the actions in advance;

(2) An emergency procedure for use when advanced approval is not possible;

(3) Adequate documentation on all actions taken;

(4) Records administration and dissemination procedures; and

(5) Reporting requirements.

(e) Those requests that are required to be submitted to GSA for review shall be accompanied by a "determination" as defined in § 201-6.001.

(f) A program is established to re-evaluate at least every 2 years the need for each determination authorizing listening-in or recording of telephone conversations.

§ 201-6.204 GSA responsibilities.

(a) General Services Administration (KMPP), Washington, DC 20405, will be accountable for information and determinations concerning the use of listening-in or recording of telephone conversations in the Federal Government as requested under § 201-6.202-2(c), (d), or (e).

(b) GSA will periodically review the listening-in programs within the agencies to ensure that agencies are complying with the intent of this Subpart 201-6.2.

(c) GSA will provide assistance to agencies in determining what communications devices and practices fall within the listening-in or recording category; i.e., those that have the capacity to listen-in, monitor, or intercept telephone conversations. GSA will also help develop administrative alternatives to the listening-in or recording of telephone conversations. Requests for assistance shall be addressed to: General Services Administration (KJ), Washington, DC 20405.

(d) GSA will take appropriate steps to obtain compliance with this regulation if an agency has not documented its devices in accordance with this Subpart 201-6.2.

§ 201-6.205 Use of line identification equipment.

Line identification equipment may be installed in FTS telephone facilities to assist Federal law enforcement agencies to investigate threatening telephone calls, bomb threats, and other criminal activities. No invasion of privacy is involved, and the use of this equipment does not violate the Privacy Act of 1974 or any Federal or State wiretap laws; e.g., Title III of the Omnibus Crime Control and Safe Streets Act of 1968. Information and assistance may be obtained from General Services Administration (KJ), Washington, DC 20405.

PART 201-7—SECURITY OF INFORMATION RESOURCE SYSTEMS

Sec.

201-7.000 Scope of part.
201-7.001 Definitions.

Sec.

Subpart 201-7.1—Security Management

201-7.101 Policy.
201-7.102 Agency security responsibilities.
201-7.103 Security program elements.
201-7.103-1 Identification of sensitive systems and facilities.
201-7.103-2 Risk analysis.
201-7.103-3 Administrative, physical, and technical aspects.
201-7.103-4 Privacy considerations.
201-7.104 Security program objectives.
201-7.105 Security specifications.
201-7.106 Certification of conformance to security specifications.
201-7.107 Security audit or evaluation.

Subpart 201-7.2—Environmental and Physical Security of Data Processing Facilities

201-7.201 Facility environment.
201-7.202 Firesafety.
201-7.203 Contingency planning.
201-7.204 Security program for ADP facilities.
201-7.205 Physical security for ADP facilities.

AUTHORITY: Sec. 205(c), 63 Stat. 390; 40 U.S.C. 486(c).

SOURCE: FIRMR Amdt. 1, 50 FR 4342, Jan. 30, 1985, unless otherwise noted.

§ 201-7.000 Scope of part.

This part prescribes policies and procedures for the security and protection of automatic data processing (ADP) and telecommunication systems and facilities. (See also Part 201-6, Protection of Personal Privacy.)

§ 201-7.001 Definitions.

"Agency controls, as used in Part 201-7" means those administrative and personnel measures used in conjunction with ADP administrative, technical, and physical security measures to achieve adequate comprehensive security.

"Security specifications, as used in Part 201-7" means a detailed description of the safeguards required to protect a sensitive computer application or telecommunication system.

"Sensitive application systems, as used in Part 201-7" means those ADP and telecommunication systems that require a degree of protection. The protection is required because these systems process sensitive data; the risk of loss or harm that could result from data disclosure, modification, or destruction is substantial; or the improper operation of the software or equipment related to the application system would have a serious effect on the ability of the agency to function. Examples of sensitive applications systems are (a) automated systems with little or no human intervention; e.g., check-issuing systems; (b) systems that process privileged information; e.g., proprietary data and economic forecasts; (c) systems that process personal information subject to the Privacy Act of 1974; and (d) systems where the loss or harm would be such that the organization could not effectively perform its mission and would have a substantially adverse effect on the Nation.

"Sensitive data, as used in Part 201-7" means data that require a degree of protection due to the risk and magnitude of loss or harm that could result from inadvertent or deliberate disclosure, alteration, or destruction of the data.

Subpart 201-7.1—Security Management

§ 201-7.101 Policy.

Federal agencies shall ensure that an adequate level of security is provided for all ADP and telecommunication systems and services, including those provided by contractors. An adequate security program shall be established to ensure automated information system integrity; i.e., a security program that (a) ensures that under all conditions sensitive data is safeguarded from disclosure and protected from unauthorized modification or destruction, (b) provides for operational reliability of the ADP and telecommunication systems, and (c) provides asset integrity for prevention of loss from natural hazards, fire, etc.

§ 201-7.102 Agency security responsibilities.

Each agency shall establish an agency security program that clearly delineates the responsibility for security agencywide. The agency head shall establish policies and procedures and assign responsibility for development, implementation, and operation of the

agency's ADP and telecommunication security program. This responsibility applies to work performed internally or by contract.

(a) *Personnel.* The agency security program shall include policies and procedures for the screening and clearance of all persons involved in the design, operation, or maintenance of ADP or telecommunication systems. The level of screening required will vary from minimal checks to full background investigations commensurate with the sensitivity of the data handled and the risk and magnitude of loss or harm that could be caused by the individual. Policies shall be consistent with policies issued by the Office of Personnel Management (see Federal Personnel Manual (FPM) 732-4.1).

(b) *Facility security officer.* Each ADP and telecommunication system location shall have a designated security person responsible for the implementation, operation, and testing of the agency security program for that installation, including the adequacy of the security training of personnel involved.

(c) *Security evaluations.* The agency security program shall include procedures for conducting periodic (at least once every 3 years) audits or evaluations of the adequacy of the security safeguards of each sensitive application. Audits or evaluations shall be conducted on applications that process personal, proprietary, or other sensitive data or that have a high potential for financial loss; e.g., an automated decision making application. They shall be conducted by persons independent of the facility users and facility management.

§ 201-7.103 Security program elements.

The agency security program shall contain all of the elements necessary to ensure an adequate level of security for all agency data, whether processed by the agency, other Government agencies, or commercially. The program shall be consistent with policies, procedures, and standards issued by OMB, GSA, the Department of Commerce, and the Office of Personnel Management. (Transmittal Memorandum No. 1 to Office of Management and Budget (OMB) Circular No. A-71, July 27, 1978, addresses security of Federal automated information systems. See also the National Bureau of Standards (NBS) publication FIPS PUB 73, Guidelines for Security of Computer Applications, June 1980.) Where national security information or cryptologic systems are involved, the provisions of Executive Order 12065, dated June 28, 1978 (3 CFR), other applicable national security issuances, and the agency implementations shall also apply.

§ 201-7.103-1 Identification of sensitive systems and facilities.

A review of ADP and telecommunication facilities and systems is necessary to identify sensitive applications. The risks (threats and hazards) shall be identified for each facility to determine the level of security required.

§ 201-7.103-2 Risk analysis.

(a) The agency shall perform a risk analysis for each ADP and telecommunications facility to provide an understanding of the probable losses and the effect of those losses (for example, what is the probability of loss of a tape or microfilm library and what is the economic or other consequence of that loss?). Expected losses should be estimated in dollars or other significant indicators, such as loss of data affecting vital programs. The analysis shall be performed before the approval of design specifications for new installations or whenever there is a significant change to the physical facility or to the hardware or software. The analysis shall be reviewed and updated whenever changes affecting the degree of protection occur. In any event, the interval between reviews shall not exceed 5 years. Each risk analysis shall be maintained for evaluation and audit purposes. These should be protected to the greatest extent practicable under law. Where national security systems are involved, appropriate classification and declassification markings shall be applied to the risk analysis package. These risk analyses are the basis for determining the type and scope of security measures required at each location. The National Bureau of

Standards (NBS) publication, FIPS PUB 65, Guideline for Automatic Data Processing Risk Analysis, provides guidance on risk analysis.

(b) The analyses should include but not necessarily be limited to the following factors:

(1) Physical destruction or loss of data and program files;

(2) Impact of loss, destruction, or alteration of data on systems or programs;

(3) Theft or disclosure of information;

(4) Misuse of ADP system (fraud, vandalism, etc.);

(5) Delay or prevention of ADP operation; and

(6) Reliability of ADPE and utilities.

§ 201-7.103-3 Administrative, physical, and technical aspects.

Administrative, physical, and technical controls shall be developed to ensure attainment of security objectives. These controls encompass a continuous program of system and application security. They should be compatible with other practices, such as cost accounting and management oversight. Included are—

(a) Organizational controls; e.g., those that have the potential to reduce damage or loss to the agency through concentration or distribution of functions;

(b) Media and logistic controls; e.g., those used in ADP operations to protect data during physical handling; and

(c) Accountability controls; e.g., those that identify specific individuals at any time an action is taken that may have an effect on the data, application, or physical installation.

§ 201-7.103-4 Privacy considerations.

ADP and telecommunication system security considerations related to implementation of the Privacy Act of 1974 (5 U.S.C. 552a) are contained in Subpart 201-6.1. National Bureau of Standards (NBS) publication FIPS PUB 41, provides further guidance.

§ 201-7.104 Security program objectives.

The security program requires continuing day-to-day attention. The following program objectives need to be considered:

(a) *Reduction of sensitive facilities.* All locations need to be designed to safeguard the equipment and data against varying degrees of projected threats and hazards. Although all facilities must provide protection under varying circumstances, it may be prudent to move a sensitive data application to a system that provides adequate protection rather than spend enormous sums to upgrade security.

(b) *Improvement of security at existing facilities.* Security may be improved at existing facilities by either upgrading the physical security at the facility and/or by strengthening the administrative security practices. Strengthening administrative security, by applying sound management practices, can often be effective in minimizing losses and limiting alteration costs. Actions such as closing and locking doors, maintaining logs, verifying signatures, inspecting fire equipment, replacing air filters, and verifying emergency procedures are important continuing considerations. Security must be a daily concern that is given priority attention.

(c) *Contingency plans.* Plans should be developed to provide continuity of data processing support should normal operations be interrupted. Alternate facilities are essential for systems that process sensitive data applications. The alternate facility should have sufficient capacity to run its own sensitive data applications plus the sensitive applications of the downed system. The backup capability may reside in one or more systems or facilities but should be located so that operating personnel, programs, data, paper, forms, etc., can be made available on short notice. Agreements for use of the backup (alternate) facility should be made in advance so that sensitive data applications are operated with minimum interruption. Plans should be reviewed and tested at periodic intervals.

§ 201-7.105 Security specifications.

(a) The agency security program shall include a management control process to develop security specifica-

tions for new sensitive applications or modifications of sensitive applications. The development of a security specification consists of the identification of the sensitive application, a list of potential threats and hazards, and a description of the measures needed to protect the application.

(b) The security program should include procedures that ensure that security specifications are developed to meet the requirements of those responsible for the security of the various application systems.

(c) The security program must include procedures requiring the certification of each system after completion of the system acceptance tests and before operational use of that system. This action certifies that (1) the system meets the documented and approved system security specifications, (2) the results of the system test demonstrate adequacy of application security provisions, and (3) all applicable Federal policies, regulations, and standards are met.

(d) The security program shall establish requirements and responsibilities for the design, system test, certification of system test, and certification of security specifications.

§ 201-7.106 Certification of conformance to security specifications.

(a) New or modified sensitive application systems shall be certified in accordance with agency procedures to ensure conformance with the security specifications before operation. Contractor- or other agency-operated systems or services shall also be certified.

(b) The security of existing sensitive systems shall be modified as appropriate to the level of security as specified in the agency security program for new or revised systems.

(c) The agency security program shall establish policies, criteria, and timetables for periodic recertification of all sensitive application systems, including those operated at contractor locations. The recertification timetable shall be based on the sensitivity of the information processed and the risk involved, but shall be conducted at least every 3 years.

§ 201-7.107 Security audit or evaluation.

(a) Agencies shall establish a program for conducting periodic audits or evaluations for evaluating and recertifying the adequacy of the security safeguards of each operational sensitive application.

(b) Audits shall be conducted by personnel other than those responsible for the operation and development of the system.

(c) The audit or evaluation shall include an examination of the data sensitivity; a verification and validation of the adequacy of physical, administrative, financial, and technical controls; and a review of the adequacy of security administration. Time intervals for audits or evaluations will be determined by the agency, based on the sensitivity of the operation, but at least every 3 years. All ADP and telecommunication facilities shall be included in this audit and evaluation.

Subpart 201-7.2—Environmental and Physical Security of Data Processing Facilities

§ 201-7.201 Facility environment.

An ADP facility environment conducive to both the protection of the Government's investment in ADP resources and the effective performance of the ADP function is essential. Care should be exercised in the selection of the ADP facility location to ensure the protection of supporting utilities and the minimization of natural disaster probabilities.

(a) *Temperature and humidity.* (1) Wherever possible, manufacturers' specifications for data processing equipment and Federal energy conservation considerations shall be used to determine the optimum temperature and humidity ranges for the computer room. The ADPE should be operated within those limits. To prevent excessive temperature and humidity fluctuation, all doors to the computer room shall be kept closed as appropriate.

(2) An adequate warning system should be installed and maintained to warn of near-limit conditions so that prompt action can be taken to prevent equipment damage. Recording instruments (24-hour and 7-day) should also

be located and installed to provide a true record of temperature and humidity. The recorders should be located where they will monitor the air leaving the ADPE area. The recorders should be checked frequently for accuracy. Only the building manager, the ADP facility manager, or another official controlling or operating the building should be permitted to regulate the computer room environmental controls.

(b) *Lighting and electrical service.* Adequate lighting of the computer room should be provided and maintained, taking into account Federal conservation considerations. An uninterruptible power source may be needed to support the system. Voltage regulators or other electronic means may be necessary to prevent serious fluctuations in current. Emergency lighting shall be provided as necessary to ensure safe exit. Periodic checks should be made of the emergency lighting and the auxiliary power to ensure performance operability. The minimum acceptable level of illumination is 40 foot-candles as measured 40 inches above the floor at any point in the room.

(c) *Cleanliness.* (1) A routine cleaning schedule should be established and followed. Personnel assigned to clean the computer room should be permitted to do so only after receiving proper training in the cleaning of these areas. An authorized representative of the ADP facility shall be present during the cleaning operations.

(2) Noncombustible wastebaskets with self-closing or tight-fitting covers should be provided in the computer room. Burn bags required for security purposes should be enclosed in metal bulk-refuse containers with self-closing tops if the room is sufficiently secure; otherwise, the burn bags should be kept in safes.

(3) Contributors to dust or lint conditions such as outer coats and coat racks should not be permitted in the computer room. Venetian blinds, throw rugs, etc., that accumulate dust and static electricity should not be used in computer rooms.

(4) Air conditioning filters should be checked and cleaned or replaced frequently.

(5) Floors should be kept polished and, if necessary, buffed to a hard finish. Waxes which powder or flake and steel wool buffing pads should not be used. Care should be exercised when damp-mopping or waxing to avoid seepage of liquids through the joints of raised floors.

(6) Carpeted areas should be vacuumed frequently to prevent accumulation of dust. Antistatic carpeting or spray should be used to prevent the buildup and discharge of static electricity.

(d) *Personnel.* (1) Only those authorized persons as defined by the agency security program should be permitted in the ADP facility. Notice of this restriction should be posted at each entrance. Authorized personnel should be positively identified through the use of local access control procedures. Personnel should be well trained in these facility, environment, and security regulations and procedures.

(2) Smoking, eating, and drinking shall not be permitted in the computer room. Signs stating these restrictions should be posted at each entrance.

(3) Appliances and equipment not essential to the functioning of the system are prohibited in the ADP facility. Examples of these items are electric razors, coffee pots, hot water pots, and hotplates.

(e) *Precautionary measures.* False ceilings that conceal steam and water pipes shall be checked regularly for discoloration or other indication of a leak in the pipes. Any irregularities should be reported immediately to the building manager or other official controlling or operating the building so that prompt remedial action may be taken. Work scheduled for the ceiling area, whether from above or below; shall be a coordinated effort to provide maximum safety for personnel and equipment and to minimize interruption of operations. All other situations that are suspect as being potentially damaging to life or property shall be reported to the appropriate authority and liaison maintained until corrective action has been taken. Plastic sheets should be readily available to cover at least the central processing units (CPU) and those peripheral units susceptible to water damage.

Equipment that has been exposed to water should not be activated until completely dry.

§ 201-7.202 Firesafety.

Guidelines concerning firesafety practices are provided in FPMR § 101-20.109, in the National Fire Prevention and Control Administration's Handbook RP-1, Standard Practice for the Fire Protection of Essential Electronic Equipment Operations, and in the NFPA Fire Protection Handbook, Section 11 (Special Fire Protection and Prevention Problems), Chapter 1 (Electronic Computer/Data Processing Equipment). For additional information, refer to the "National Fire Codes: A compilation of Codes, Standards, Recommended Practices, and Manuals" (published by the National Fire Protection Association, Quincy, Massachusetts). Employees should receive periodic training regarding emergency actions. Training should include power shutdown and startup procedures, use of emergency power, the fire detection system, use of fire extinguishers, building evacuation, use of alarms, etc.

(a) *Fire prevention—master control switches.* Master control switches that shut off all power to the computers and peripheral equipment should be so installed as to override all other electrical controls used during normal computer operations. Facilities with air-conditioning systems not designed for smoke removal may include their air-conditioning system on the same master switches. These switches should be located near each normally used entrance to the computer room and should be conspicuously labeled and adequately protected to prevent accidental shutoff. Master control switches for systems that process sensitive applications should be equipped to require a sequential shutdown routine.

(b) *Portable firefighting equipment.* Agencies shall ensure that a sufficient number of fire extinguishers are available in the ADP facility. Each fire extinguisher shall be prominently displayed in an unblocked, easily accessible area, so that no person in the area will have to travel more than 50 feet to obtain a fire extinguisher. Only carbon dioxide fire extinguishers shall be used on electrical fires; no other Class C (electrical nonconducting) extinguishing agents should be used. Fire extinguishers using water should be used on fires involving ordinary combustible materials, such as wood, paper, cloth, and plastics. Extinguishers containing water shall not be used on fires involving electrical equipment because this use can result in injury or death. All fire extinguishers shall be regularly inspected and properly maintained to ensure that they are in good working order. The number of types of fire extinguishers available in the ADP facility will be in accordance with section 704 of the National Fire Prevention and Control Administration's Handbook RP-1.

(c) *Smoke detection.* Automatic smoke detection equipment capable of early warning detection shall be installed in all areas as required in RP-1 and NFPA No. 72E, Automatic Fire Detectors.

§ 201-7.203 Contingency planning.

Contingency plans should be developed to deal with events that could prevent normal ADP operations and interfere with the accomplishment of an agency's mission. A contingency plan should, at a minimum, address the following elements:

(a) The appropriate response to a fire, flood, civil disorder, natural disaster, or bomb threat, to protect lives, limit damage, and minimize the impact on ADP operations.

(b) The development of backup procedures to ensure that essential ADP operational tasks can be conducted after disruption to the primary ADP facility. Arrangements should be made for a backup facility (including the needed files, programs, paper stocks and preprinted forms, etc.) to operate the essential systems in the event of a total failure.

(c) Recovery procedures to permit rapid restoration of an ADP facility following physical destruction, major damage, or loss of data. To the extent possible, contingency plans should be tested on a recurring basis and modified as changes in the ADP facility workload dictate. Critical applications should be operated on the backup

system to ensure that it can properly process this workload. Additional information on contingency planning is contained in FIPS PUB 31, Guidelines for Automatic Data Processing Physical Security and Risk Management and FIPS PUB 87, Guidelines for ADP Contingency Planning.

§ 201-7.204 Security program for ADP facilities.

(a) Agencies are required to organize and maintain an ADP system security program to ensure the protection, confidentiality, and integrity of the Government's investment in the ADP system, including associated ADPE, data, computer media, and software. (See Subpart 201-7.1 for security management provisions.) Agencies' internal directives and procedures for the physical security of computer facilities should consider the standards and guidelines that appear in the following Department of Commerce puolications:

(1) FIPS PUB 31, Guidelines for Automatic Data Processing Physical Security and Risk Management;

(2) FIPS PUB 39, Glossary for Computers Systems Security;

(3) FIPS PUB 41, Computer Security Guidelines for Implementing the Privacy Act of 1974;

(4) FIPS PUB 46, Data Encryption Standard;

(5) FIPS PUB 48, Guidelines on Evaluation of Techniques for Automated Personnel Identification;

(6) FIPS PUB 65, Guideline for Automatic Data Processing Risk Analyses;

(7) FIPS PUB 73, Guidelines for Security of Computer Applications;

(8) FIPS PUB 83, Guideline on User Authentication Techniques for Computer Network Access Control;

(9) FIPS PUB 87, Guidelines for ADP Contingency Planning; and

(10) FIPS PUB 102, Guideline for Computer Security Certification and Accreditation.

(b) NBS Publications List 91 outlines a number of additional NBS computer security publications.

§ 201-7.205 Physical security for ADP facilities.

Agencies shall provide physical security for their ADP facilities at levels consistent with the agency security program. Emergency requirements and operating procedures shall be considered when planning physical protective measures. The Office of Federal Protection and Safety (mailing address: General Services Administration (PS), Washington, DC 20405) can furnish assistance regarding the availability and use of security hardware and alarm systems.

PART 201-8—IMPLEMENTATION AND USE OF FEDERAL STANDARDS

Sec.

201-8.000 Scope of part.

Subpart 201-8.1—Federal ADP and Telecommunications Standards

201-8.100 Scope of subpart.
201-8.100-1 Standards Index.
201-8.101 Applicability.
201-8.101-1 Implementation.
201-8.101-2 Waiver to a Federal Information Processing Standard (FIPS).
201-8.101-3 Exception to a Federal Telecommunication Standard (FED-STD).
201-8.101-4 Deviations.
201-8.102 Types of Federal standards.
201-8.102-1 Federal Information Processing Standards Publications (FIPS PUBS).
201-8.102-2 Federal Telecommunication Standards (FED-STDS).
201-8.102-3 Joint Federal Information Processing Standards and Federal Telecommunication Standards (FIPS/FED-STDS).
201-8.103 Categories of Federal standards.
201-8.103-1 Hardware standards.
201-8.103-2 Software standards.
201-8.103-3 Application standards.
201-8.103-4 Data standards.
201-8.104 Application of standards to requirements.
201-8.105 Hardware standards requirement statements.
201-8.105-1 FIPS PUB 1-2, Code for Information Interchange, Its Representations, Subsets, and Extentions..
201-8.105-2 FIPS PUB 2, Perforated Tape Code for Information Interchange.
201-8.105-3 FIPS PUB 3-1, Recorded Magnetic Tape for Information Interchange (800 CPI, NRZI).
201-8.105-4 [Reserved]

Sec.

201–8.105–5 FIPS PUB 13, Rectangular Holes in 12-Row Punched Cards.

201–8.105–6 FIPS PUB 14–1, Hollerith Punched Card Code.

201–8.105–7 [Reserved]

201–8.105–8 FIPS PUB 25, Recorded Magnetic Tape for Information Interchange (1600 CPI, Phase Encoded).

201–8.105–9 FIPS PUB 26, One-Inch Perforated Paper Tape for Information Interchange.

201–8.105–10 FIPS PUB 27, Take-up Reels for One-Inch Perforated Tape for Information Interchange.

201–8.105–11 FIPS PUB 32–1, Optical Character Recognition Character Sets.

201–8.105–12 FIPS PUB 33–1, Character Set for Handprinting.

201–8.105–13—201–8.105–14 [Reserved]

201–8.105–15 FIPS PUB 46, Data Encryption Standard (DES).

201–8.105–16 FIPS PUB 50, Recorded Magnetic Tape for Information Interchange, 6250 CPI (246 CPMM), Group Coded Recording.

201–8.105–17 FIPS PUB 51, Magnetic Tape Cassettes for Information Interchange (3.810 mm (0.150 in) Tape at 32 BPMM (800 BPI), PE).

201–8.105–18 FIPS PUB 52, Recorded Magnetic Tape Cartridge for Information Interchange, 4-Track, 6.30 mm (0.250 in), 63 BPMM (1600 BPI) Phase Encoded.

201–8.105–19 FIPS PUB 54, Computer Output Microform (COM) Formats and Reduction Ratios, 16 mm and 105 mm.

201–8.105–20 FIPS PUB 60–2, Input/Output (I/O) Channel Interface.

201–8.105–21 FIPS PUB 61–1, Channel Level Power Control Interface.

201–8.105–22 FIPS PUB 62, Operational Specifications for Magnetic Tape Subsystems.

201–8.105–23 FIPS PUB 63–1, Operational Specifications for Variable Block, Rotating Mass Storage Subsystems.

201–8.105–24 FIPS PUB 81, Data Encryption Standard (DES) Modes of Operations.

201–8.105–25—201–8.105–27 [Reserved]

201–8.105–28 FIPS PUB 84, Microfilm Readers.

201–8.105–29 FIPS PUB 85, Optical Character Recognition (OCR) Inks.

201–8.105–30 FIPS PUB 86, Additional Controls for Use With American National Standard Code for Information Interchange.

201–8.105–31 FIPS PUB 89, Optical Character Recognition (OCR) Character Positioning.

Sec.

201–8.105–32 FIPS PUB 91, Magnetic Tape Cassettes for Information Interchange, Dual Track, Complementary Return-to-Bias (CRB), Four-States Recording on 3.81 mm (0.150 in) Tape.

201–8.105–33 FIPS PUB 93, Parallel Recorded Magnetic Tape Cartridge for Information Interchange, 4 Track 6.30 mm (0.250 in), 63 BPMM (1600 BPI), Phase Encoded.

201–8.105–34 FIPS PUB 97, Operational Specifications for Fixed Block, Rotating Mass Storage Subsystems.

201–8.105–35 FIPS PUB 107, Local Area Networks: Baseband Carrier Sense Multiple Access with Collision Detection Access Method and Physical Layer Specifications and Link Layer Protocol.

201–8.105–36 FIPS PUB 108, Alphanumeric Computer Output Microform Quality Test Slide.

201–8.105–37 FIPS PUB 111, Storage Module Interfaces (With Extensions for Enchanced Storage Module Interfaces).

201–8.106 Software standards other than programing languages requirement statements.

201–8.106–1 [Reserved]

201–8.106–2 FIPS PUB 24, Flowchart Symbols and Their Usage in Information Processing.

201–8.106–3 FIPS PUB 30, Software Summary for Describing Computer Programs and Automated Data Systems.

201–8.106–4 FIPS PUB 53, Transmittal Form for Describing Computer Magnetic Tape File Properties.

201–8.106–5 FIPS PUB 79, Magnetic Tape Labels and File Structure for Information Interchange.

201–8.106–6 [Reserved]

201–8.107 Federal Information Processing Standards (FIPS) programing languages requirement statements.

201–8.107–1 FIPS PUB 21–1, COBOL.

201–8.107–2 FIPS PUB 68, Standard Minimal BASIC.

201–8.107–3 FIPS PUB 69, FORTRAN.

201–8.108 Development or acquisition of application programs.

201–8.109 Validation of compilers.

201–8.110 Data standards requirement statements.

201–8.110–1 FIPS PUBS applicable to the interchange of machine processable data between and among agencies.

201–8.111 Applications standards requirement statements.

201–8.112 Federal Telecommunication Standards (FED-STD) requirement statements.

201–8.112–1 FED-STD 1002, Time and Frequency Reference Information in Telecommunication Systems.

201–8.112–2—201–8.112–3 [Reserved]

Sec.
201–8.112–4 FED–STD 1005, Coding and Modulation Requirements for Nondiversity 2400 Bit/Second Modems.
201–8.112–5 FED–STD 1006, Coding and Modulation Requirements for Duplex 4800 Bit/Second Modems.
201–8.112–6 FED–STD 1007, Coding and Modulation Requirements for Duplex 9600 Bit/Second Modems.
201–8.112–7 FED–STD 1008, Coding and Modulation Requirements for Duplex 600 and 1200 Bit/Second Modems.
201–8.112–8 FED–STD 1015, Telecommunications: Analog to Digital Conversion of Voice by 2400 Bit/Second Linear Predictive Coding.
201–8.112–9—201–8.112–10 [Reserved]
201–8.112–11 FED–STD 1020A, Electrical Characteristics of Balanced Voltage Digital Interface Circuits.
201–8.112–12 FED–STD 1026, Telecommunications: Interoperability and Security Requirements for Use of the Data Encryption Standard in the Physical Layer of Data Communications.
201–8.112–13 FED–STD 1027, General Security Requirements for Equipment Using the Data Encryption Standard.
201–8.112–14 FED–STD 1028, Telecommunications: Interoperability and Security Requirements for Use of the Data Encryption Standard with CCITT Group 3 Facsimile Equipment.
201–8.112–15 [Reserved]
201–8.112–16 FED–STD 1030A, Electrical Characteristics of Unbalanced Voltage Digital Interface Circuits.
201–8.112–17—201–8.112–24 [Reserved]
201–8.112–25 FED–STD 1061, Group 2 Facsimile Apparatus for Document Transmission.
201–8.112–26 FED–STD 1062, Group 3 Facsimile Apparatus for Document Transmission.
201–8.112–27 FED–STD 1063, Telecommunications: Procedures for Document Facsimile Transmission.
201–8.113 Joint FIPS/FED–STD requirement statements.
201–8.113–1 FIPS PUB 37/FED–STD 1001, Synchronous High Speed Data Signaling Rates Between Data Terminal Equipment and Data Communication Equipment.
201–8.113–2 FIPS PUB 16–1/FED–STD 1010, Bit Sequencing of the Code for Information Interchange in Serial-By-Bit Data Transmission.
201–8.113–3 FIPS PUB 17–1/FED–STD 1011, Character Structure and Character Parity Sense for Serial-By-Bit Data Communication in the Code for Information Interchange.
Sec.
201–8.113–4 FIPS PUB 18–1/FED–STD 1012, Character Structure and Character Parity Sense for Parallel-By-Bit Data Communication in the Code for Information Interchange.
201–8.113–5 FIPS PUB 22–1/FED–STD 1013, Synchronous Signaling Rates Between Data Terminal and Data Communication Equipment.
201–8.113–6 FIPS PUB 71/FED–STD 1003A, Advanced Data Communication Control Procedures (ADCCP).
201–8.113–7 FIPS PUB 100/FED–STD 1041, Interface Between Data Terminal Equipment (DTE) and Data Circuit-Terminating Equipment (DCE) for Operation with Packet-Switched Data Communication Networks.

Subpart 201–8.2—Federal Records Management Standards

AUTHORITY: Sec. 205(c), 63 Stat. 390; 40 U.S.C. 486(c).

SOURCE: FIRMR Amdt. 1, 50 FR 4346, Jan. 30, 1985, unless otherwise noted.

§ 201–8.000 Scope of part.

This part implements ADP, telecommunication, and records management standards and prescribes policies and procedures for their use.

Subpart 201–8.1—Federal ADP and Telecommunication Standards

§ 201–8.100 Scope of subpart.

This subpart provides for implementation of Federal Information Processing Standards (FIPS), Federal Telecommunication Standards (FED–STDS), and joint FIPS/FED–STDS. Descriptions of Federal standards which are prescribed by the General Services Administration (GSA) in this subpart together with "requirement statements" for use in requirement documents including solicitations are provided for agency use. Application to the acquisition process is covered.

§ 201.8.100–1 Standards Index.

GSA publishes periodically, usually annually, a handbook titled, the ADP and Telecommunications Standards Index. It provides guidance to agencies on the application of standards in the acquisition and use of ADP and telecommunications equipment and serv-

ices. It specifies standard terminology for use in requirements documents, including solicitations, for each standard. The handbook also provides status on standards under development. Its availability and ordering information is provided through the issuance of a FIRMR bulletin.

[FIRMR Amdt. 6, 51 FR 8318, Mar. 11, 1986]

§ 201-8.101 Applicability.

Each Federal agency shall use Federal standards as provided in this Subpart 201-8.1 (see 40 U.S.C. 487(b)). Each agency shall determine the applicability of a particular standard to a particular requirement in accordance with the statements of that standard.

§ 201-8.101-1 Implementation.

Agencies shall implement Federal standards for the acquisition and use of automatic data processing and telecommunications equipment, services and related software as prescribed by this subpart.

[FIRMR Amdt. 6, 51 FR 8318, Mar. 11, 1986]

§ 201-8.101-2 Waiver to a Federal Information Processing Standard (FIPS).

Waiver procedures, together with exemption and waiver approval authority from the mandatory use of a specific FIPS, are contained in each FIPS. If specifications for waiver approval are not included in the FIPS, waiver approval responsibility rests with the head of the agency. Exemptions, waiver authority approval, and criteria upon which to base exemptions and waiver approval are explained where applicable. For some standards, a waiver approval response from the Secretary of Commerce to an agency request for waiver is required before acquisition action can commence. If a waiver is obtained from the use of an individual FIPS, a deviation from the FIRMR is not required.

[FIRMR Amdt. 6, 51 FR 8319, Mar. 11, 1986; 51 FR 10392, Mar. 26, 1986]

§ 201-8.101-3 Exception to a Federal Telecommunication Standard (FED-STD).

(a) Exceptions to the mandatory use of a FED-STD required by this Subpart 201-8 may be granted by GSA only upon submission of adequate justification to GSA. If an exception is obtained from the use of an individual FED-STD, a deviation from the FIRMR is not required. Circumstances under which exceptions may be granted include, but are not limited to, the following—

(1) The items to be acquired are replacements or augmentation components of an existing system or equipment, the operational integrity or utility of which would be decreased by introduction of components meeting Federal telecommunication standards; or

(2) The purchase is required under an unusual and compelling urgency and the use of the applicable standards would result in a delay in obtaining agency requirements.

(b) When purchases are made under any of the following conditions, agencies may acquire nonstandard equipment without prior approval of, but with notification to GSA—

(1) The items are to be purchased in foreign markets for use by overseas activities of agencies;

(2) The items to be purchased are required for experimental or test and evaluation purposes; or

(3) Where otherwise authorized by law or treaty.

(c) Requests for exceptions, notifications, and requests for assistance should be addressed to the General Services Administration (KMP), Washington, DC 20405.

[FIRMR Amdt. 1, 50 FR 4346, Jan. 30, 1985, as amended by FIRMR Amdt. 4, 50 FR 27147, July 1, 1985; FIRMR Amdt. 6, 51 FR 8319, Mar. 11, 1986]

§ 201-8.101-4 Deviations.

Deviations to the implementation of standards as prescribed by this subpart shall be handled as provided in Subpart 201-1.4. If a waiver or exception is obtained from the use of an individual standard, a deviation from the FIRMR is not required.

[FIRMR Amdt. 6, 51 FR 8319, Mar. 11, 1986]

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§ 201-8.102 Types of Federal standards.

Federal standards for information resources are adopted and issued under authorities and procedures set forth in the following subsections of this § 201-8.102. These standards are applied and implemented into Federal information resources activities by this Subpart 201-8.1 by GSA. Federal standards discussed in this part are categorized as Federal Information Processing Standards (FIPS), Federal Telecommunications Standards (FED-STDS), or as Joint Federal Information Processing and Federal Telecommunications Standards (FIPS/FED-STDS). Each of these standard categories is described in detail below.

[FIRMR Amdt. 6, 51 FR 8319, Mar. 11, 1936; 51 FR 10392, Mar. 26, 1986]

§ 201-8.102-1 Federal Information Processing Standards Publications (FIPS PUBS).

(a) Federal Information Processing Standards Publications (FIPS PUBS) are official Federal Government publications relating to standards adopted and issued under the provisions of section 111(f)(2) of the Federal Property and Administrative Services Act of 1949, as amended (40 U.S.C. 759(f)), and Executive Order 11717, dated May 9, 1973 (38 FR 12315, May 11, 1973). FIPS PUBS, issued by the National Bureau of Standards (NBS,) fall into general categories, FIPS PUB Standards and FIPS PUB Guidelines. FIPS PUB Guidelines are informational documents whereas FIPS PUB Standards are mandatory.

(b) Qualifications concerning use and special implementing information are explained where applicable.

(c) Requests for FIPS PUBS (except for Department of Defense (DoD) activities and DoD contractors), including discounts for quantity orders, should be sent to: National Technical Information Service, U.S. Department of Commerce, Springfield, VA 22161 (Telephone (703) 487-4650 or FTS 737-4650).

(d) Requests for FIPS PUBS subscriptions should be sent to: Subscriptions, National Technical Information Service, U.S. Department of Commerce, Springfield, VA 22161 (Telephone (703) 487-4630, or FTS 737-4630).

(e) Requests from Department of Defense (DoD) activities and DoD contractor, should be sent to: Naval Publications and Forms Center, 5801 Tabor Avenue, Philadelphia, PA 19120.

(1) Requests should include a complete mailing address.

(2) Requests from DoD contractors must include the solicitation or contract number where applicable.

(3) List requested documents in alphabetical order and indicate quantity of each document.

(4) Telephone requests may be made by calling (215) 697-3321 or AUTOVON 442-3321.

[FIRMR Amdt. 6, 51 FR 8319, Mar. 11, 1986]

§ 201-8.102-2 Federal Telecommunications Standards (FED-STDS).

(a) Federal Telecommunications Standards (FED-STDS) are official Federal Government publications relating to standards adopted and issued under the provisions of section 206 of the Federal Property and Administrative Services Act of 1949, 63 Stat. 390, as amended (40 U.S.C. 487). These Federal publications are issued by GSA and collectively constitute the Federal Supply Class (FSC) of "Telecommunications" in the Federal Standards Index. These standards are developed by the National Communications System under delegation from the GSA.

(b) Federal agencies may obtain one copy of each FED-STD free of charge. Copies are available to the public on a cost-reimbursable basis. Requests for these publications, specifying the FED-STD number, should be sent to: General Services Administration (WFSI), Washington, DC 20407 (Telephone (202) 472-2205 or FTS, 472-2205).

(c) Requests from Department of Defense (DoD) activities and DoD contractors, should be sent to: Naval Publications and Forms Center, 5801 Tabor Avenue, Philadelphia, PA 19120.

(1) Requests should include a complete mailing address.

(2) Requests from DoD contractors must include the solicitation or contract number where applicable.

(3) List requested documents in alphabetical order and indicate quantity of each document.

(4) Telephone requests may be made by calling (215) 697-3321 or AUTOVON 442-3321.

[FIRMR Amdt. 6, 51 FR 8319, Mar. 11, 1986]

§ 201-8.102-3 Joint Federal Information Processing Standards and Federal Telecommunication Standards (FIPS/FED-STDS).

Joint Federal Information Processing Standards and Federal Telecommunication Standards (FIPS/FED-STDS) are standards which are published as both FIPS PUBS and FED-STDS within the authorities cited in §§ 201-8.102-1 and 201-8.102-2. Either the FIPS PUB or the FED-STD adequately addresses the joint applicability. These standards are available as discussed in § 201-8.102-1 and § 201-8.102-2. Statements regarding specific FIPS PUBS or FED-STDS which are joint FIPS/FED-STDS are set forth only in § 210-8.113.

§ 201-8.103 Categories of Federal standards.

The following categories of Federal standards are implemented by this Subpart 201-8.1. For terms not defined in an individual FIPS PUB, see FIPS PUB 11-2, Guidelines: American National Standard Vocabulary for Information Processing Systems, available as indicated in § 201-8.102-1(d). Federal telecommunications standards terms and definitions are defined in FED-STD 1037, Glossary of Telecommunications Terms, available as indicated in § 201-8.102-2(d).

[FIRMR Amdt. 6, 51 FR 8319, Mar. 11, 1986]

§ 201-8.103-1 Hardware standards.

"Hardware standards" is that category of standards which includes areas of standardization such as character recognition, interchange codes and media, transmission, interface, and keyboards.

§ 201-8.103-2 Software standards.

"Software standards" is that category of standards which includes areas of standardization such as programing languages, operating systems, operating procedures, and documentation.

§ 201-8.103-3 Application standards.

"Application standards" is that category of standards that includes areas of standardization, such as payroll, personnel, inventory, and accounting.

§ 201-8.103-4 Data standards.

"Data standards" is that category of standards which includes areas of standardization such as data elements, data formats, and data representations and data codes.

§ 201-8.104 Application of Standards to requirements.

(a) FIPS PUBS and FED-STDS, unless waived or excepted, shall be applied to ADP and telecommunication acquisitions. Standard terminology for use in requirements documents, including solicitations for offers, is provided for each standard implemented by GSA in the subsections of this Subpart 201-8.1 entitled with FIPS PUB, FED-STD, or joint FIPS/FED-STD numbers. When a FIPS PUB is waived or a FED-STD is excepted with respect to a specific requirement, the agency is not required to apply the standard to the acquisition. No deviation from the FIRMR is required (see §§ 201-8.101-2 and 201-8.101-3).

(b) If the requirements for compliance with a standard are changed after release of a solicitation; e.g., approval of a delayed request for a waiver, the agency responsible for the contracting action shall determine whether a substantial change in the Government's requirements has occurred. Action in accordance with FAR 15.606 shall be taken, including resolicitation if appropriate, based on the determination.

[FIRMR Amdt. 1, 50 FR 4346, Jan. 30, 1985, as amended by FIRMR Amdt. 6, 51 FR 8319, Mar. 11, 1986]

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§ 201-8.105 Hardware standards requirement statements.

This section provides requirement statements for use in requirements documents, including solicitations for FIPS PUBS which have been implemented by GSA in the area of standardization listed in § 201-8.103-1.

§ 201-8.105-1 FIPS PUB 1-2, Code for Information Interchange, Its Representations, Subsets, and Extensions.

(a) FIPS PUB 1-2 promulgates the American National Standard Code for Information Interchange (ASCII) and specifies the code and character set for use in Federal information processing systems, communications system and associated equipment.

(b) The standard terminology for use in requirements documents, including solicitations, is:

ASCII System Requirements (DEC 85 FIRMR)

The system, upon receiving a hardware or software command, must accept data on magnetic tape, paper tape, or any other input/output media covered by an approved Federal Information Processing Standards Publication (FIPS PUB) in ASCII code and collating sequence prescribed in FIPS PUB 1-2 and in the format prescribed in FIPS PUBS 2-1, 3-1, 25, 50, or other applicable FIPS PUBS. Such data may be translated, if necessary, into a form that the equipment can internally process, provided that, upon receiving a hardware or software command, the equipment can produce processed data on magnetic tape, paper tape, printers, and other output media in the ASCII code and collating sequence prescribed in FIPS PUB 1-2 and in the format prescribed in FIPS PUBS 2-1, 3-1, 25, 50, or other applicable FIPS PUBS.

(End of requirement statement)

[FIRMR Amdt. 6, 51 FR 8320, Mar. 11, 1986]

§ 201-8.105-2 FIPS PUB 2-1, Perforated Tape Code for Information Interchange.

(a) FIPS PUB 2-1 specifies the representation of the ASCII code and format on perforated tape to be used in Federal information processing systems, communication systems, and associated equipment.

(b) The standard terminology for use in requirements documents, including solicitations, is:

Punched Paper Tape Readers and Punches (DEC 85 FIRMR)

Punched paper tape equipment must be capable of reading and punching in the prescribed ASCII code and format specified in FIPS PUBS 1-2 and 2-1.

(End of requirement statement)

[FIRMR Amdt. 6, 51 FR 8320, Mar. 11, 1986]

§ 201-8.105-3 FIPS PUB 3-1, Recorded Magnetic Tape for Information Interchange (800 CPI, NRZI).

(a) FIPS PUB 3-1 specifies the recorded characteristics of 9-track digital ½-inch-wide magnetic computer tape, including the data format for implementing the Federal Standard Code for Information Interchange at the recording density of 800 characters per inch (CPI).

(b) The standard terminology to be used in requirements documents, including solicitations, is:

9-Track Tape Equipment—800 CPI (APR 84 FIRMR)

All 9-track digital magnetic tape recording and reproducing equipments resulting from this requirement employing ½-inch-wide tape at the recording density of 800 characters per inch (CPI), including associated programs, shall provide the capability to accept and generate recorded tapes in compliance with the requirements set forth in FIPS PUB 3-1.

(End of requirement statement)

§ 201-8.105-4 [Reserved]

§ 201-8.105-5 FIPS PUB 13, Rectangular Holes in 12-Row Punched Cards.

(a) FIPS PUB 13 specifies the size and location of rectangular holes in 12-row 3¼-inch-wide punched cards. The standard applies to card reading and punching equipment used in data processing, communications, and similar operations.

(b) The standard terminology for use in requirements documents, including solicitations, is:

PUNCHED CARD EQUIPMENT—CARDS (APR 84 FIRMR)

All punching or reading equipment utilizing 12-row 3¼-inch-wide punched cards used in data processing, communications, and similar operations must be capable of punching and reading rectangular holes of a size and location specified in FIPS PUB 13.

(End of requirement statement)

§ 201-8.105-6 FIPS PUB 14-1, Hollerith Punched Card Code.

(a) FIPS PUB 14-1 specifies the representation of the Code for Information Interchange, FIPS PUB 1-1, in 12-row 3¼-inch-wide, rectangular hole punched cards used in Federal information processing systems, communication systems, and associated equipment.

(b) The standard terminology for use in requirements documents, including solicitations, is:

PUNCHED CARD EQUIPMENT—CODE (APR 84 FIRMR)

All punching or reading equipment utilizing 12-row 3¼-inch-wide rectangular hole punched cards used in data processing, communications, and similar operations must be capable of punching or reading the Code for Information Interchange, FIPS PUB 1-1, or one of the approved subsets of the Standard Code for Information Interchange, FIPS PUB 15, in the hole pattern specified in FIPS PUB 14-1 Hollerith Punch Card Code.

(End of requirement statement)

§ 201-8.105-7 [Reserved]

§ 201-8.105-8 FIPS PUB 25, Recorded Magnetic Tape for Information Interchange (1600 CPI, Phase Encoded).

(a) FIPS PUB 25 specifies the recorded characteristics of 9-track digital ½-inch-wide magnetic computer tape, including the data format for implementing the Federal Standard Code for Information Interchange at the recording density of 1600 CPI.

(b) The standard terminology for use in requirements documents, including solicitations, is:

9-TRACK TAPE EQUIPMENT—1600 CPI, PE (APR 84 FIRMR)

All 9-track digital magnetic tape recording and reproducing equipment resulting from this requirement and employing ½-inch-wide tape at the recording density of 1,600 characters per inch, phase encoded (CPI, PE), including associated programs, shall provide the capability to accept and generate recorded tapes in compliance with the requirements set forth in FIPS PUB 25.

(End of requirement statement)

§ 201-8.105-9 FIPS PUB 26, One-Inch Perforated Paper Tape for Information Interchange.

(a) FIPS PUB 26 specifies the physical dimensions and tolerances of 1-inch-wide paper tape, including the size and location of the perforations used for recording information.

(b) The standard terminology for use in requirements documents, including solicitations, is:

PERFORATED PAPER TAPE (APR 84 FIRMR)

All 1-inch-wide perforated paper tape and related 8-channel paper tape punch and reading equipment resulting from this requirement and utilized in Federal information processing systems, communication systems, and associated terminals employing perforated paper tape equipment shall provide the capability to accept and generate tapes in compliance with the requirements set forth in FIPS PUB 26.

(End of requirement statement)

§ 201-8.105-10 FIPS PUB 27, Take-up Reels for One-Inch Perforated Tape for Information Interchange.

(a) FIPS PUB 27 specifies the physical dimensions of paper tape takeup (or storage) reels with either fixed or separate flanges. The two types of reels specified differ in the size and shape of the drive hub, but both are intended for use with 1-inch perforated paper tape devices.

(b) The standard terminology for use in requirements documents, including solicitations, is:

TAKEUP REELS (APR 84 FIRMR)

All 1-inch perforated tape takeup reels and related devices employing such reels, including paper tape readers, punches, and related tape handling equipment resulting from this requirement and used in Federal information processing systems and associated equipment employing such devices, shall provide the capability to accept one of the two types of reels specified in FIPS PUB 27.

(End of requirement statement)

§ 201-8.105-11 FIPS PUB 32-1, Optical Character Recognition Character Sets.

(a) FIPS PUB 32-1 provides the description, scope and identification for different character sets (OCR-A and OCR-B) to be used in the application of Optical Character Recognition (OCR) systems. This standard adopts, in whole or in part, American National Standard X3.17-1981, Character Set for Optical Character Recognition (OCR-A); American National Standard X3.49-1975, Character Set for Optical Character Recognition (OCR-B); and American National Standard X3.2-1970, Print Specifications for Magnetic Ink Character Recognition (MICR).

(b) FIPS PUB 32-1 includes only character shapes for OCR-A and OCR-B and certain print specifications for MICR. Print quality (print contrast ratio) and other considerations which may be required to ensure compatibility within or among systems must be specified elsewhere in the requirements document. (Also, see §§ 201-8.105-29 (FIPS PUB 85) and 201-8.105-31 (FIPS PUB 89).)

(c) The standard terminology for use in requirements documents, including solicitations, is:

OCR Equipment or Services (APR 84 FIRMR)

All applicable Optical Character Recognition (OCR) equipment or services resulting from this requirement must comply with the statements of FIPS PUB 32-1. Applicable OCR equipment includes data input devices such as typewriters, line printers, and CRT displays. Applicable services include data preparation and processing of information represented in OCR form.

(End of requirement statement)

§ 201-8.105-12 FIPS PUB 33-1, Character Set for Handprinting.

(a) FIPS PUB 33-1 announces the adoption of the American National Standard X3.45-1982, Character Set for Handprinting, as a Federal standard. The standard provides the description, scope, and application rules for a character set for handprinting.

(b) The standard terminology for use in requirements documents, including solicitations, is:

Reading Handprinted Material (DEC 85 FIRMR)

All applicable Optical Character Recognition (OCR) equipment or services which result from this requirement and which are capable of reading handprinted material must comply with FIPS PUB 33-1. The applicable services include data preparation and processing of information represented in OCR form.

(End of requirement statement)

[FIRMR Amdt. 6, 51 FR 8320, Mar. 11, 1986]

§§ 201-8.105-13—201-8.105-14 [Reserved]

§ 201-8.105-15 FIPS PUB 46, Data Encryption Standard (DES).

(a) FIPS PUB 46 specifies an algorithm to be implemented in computer or related data communication devices using hardware (not software) technology. This standard shall be used by Federal agencies for the cryptographic protection of computer data when—

(1) A department or agency decides that cryptographic protection is required; and

(2) The data are not classified according to the National Security Act of 1947, as amended; or the Atomic Energy Act of 1954, as amended.

(b) Federal agencies using cryptographic devices for protecting data classified according to either the National Security Act or the Atomic Energy Act can use these devices for protecting unclassified data in lieu of the standard.

(c) Technical specifications are included with FIPS PUB 46.

(d) The standard terminology for use in requirements documents, including solicitations, is:

Data Encryption (APR 84 FIRMR)

In the event that a data encryption requirement is specified elsewhere in this requirement, such encryption will be accomplished in accordance with FIPS PUB 46. Implementations of the standard embodied in products or services offered as a result of this requirement that are asserted to have an encryption capability in conformance with FIPS PUB 46 must have the capability validated by the National Bureau of Standards prior to being proposed. Arrangements for validation may be made with the Systems and Software Division, National Bureau of Standards, Institute for Comput-

er Science and Technology, Gaithersburg, MD 20899.

(End of requirement statement)

(e) FED-STD 1027, General Security Requirements for Equipment Using the Data Encryption Standard (§ 201-8.112-17), contains security requirements in telecommunications equipment and systems used by the U.S. Government when a need exists for encryption of unclassified information during transmission using the Data Encryption Standard (DES) algorithm described in FIPS PUB 46.

(f) The following documents provide additional information in this regard: FIPS PUB 31, Guidelines for ADP Physical Security and Risk Management; FIPS PUB 39, Glossary for Computer Systems Security; FIPS PUB 41, Computer Security Guidelines for Implementing the Privacy Act of 1974; FIPS PUB 65, Guidelines for ADP Risk Analysis; FIPS PUB 73, Guidelines for Security of Computer Applications; and FIPS PUB 74, Guidelines for Implementing and Using the NBS Data Encryption Standard.

§ 201-8.105-16 FIPS PUB 50, Recorded Magnetic Tape for Information Interchange, 6250 CPI (246 CPMM), Group Coded Recording.

(a) FIPS PUB 50 specifies the recording characteristics of 9-track, ½-inch-wide (12.7 millimeters (mm)) magnetic computer tape, including the format for implementing the Standard Code for Information Interchange (FIPS PUB 1-1/ASCII) at the recording density of 6250 CPI (246 CPMM). FIPS PUB 50 adopts the technical specifications contained in American National Standard X3.54-1976, same title, with one exception as noted in the FIPS.

(b) The standard terminology to be used in requirements documents, including solicitations, is:

RECORDING CHARACTERISTICS 9 TRACK, 6250 CPI TAPE (APR 84 FIPUB)

All applicable digital magnetic tape recording and reproducing equipment which results from this requirement and employs ½-inch-wide (12.7 mm) magnetic computer tape at the recording density of 6250 characters per inch (246 characters per millimeter) group-coded recording, including associated programs, shall provide the capability to accept and generate recorded tape in compliance with the requirements set forth in FIPS PUB 50.

(End of requirement statement)

§ 201-8.105-17 FIPS PUB 51, Magnetic Tape Cassettes for Information Interchange (3.810 mm (0.150 in) Tape at 32 BPMM (800 BPI), PE).

(a) FIPS PUB 51 specifies the physical, magnetic, and recording characteristics of a 3.810 mm (0.150 in) magnetic tape cassette in order to provide for data interchange between information processing systems at a recording density of 32 bits per millimeter (BPMM) (800 bits per inch (BPI)) using phase encoding techniques. FIPS PUB 51 adopts the technical specifications contained in American National Standard X3.48-1977, same title.

(b) The standard terminology to be used in requirements documents, including solicitations, is:

RECORDING CHARACTERISTICS—32 BPMM 3.810 MM TAPE (APR 84 FIRMR)

All magnetic tape cassette recording and reproducing equipment which results from this requirement and employs 3.810 mm (0.150 in) wide magnetic tape at the recording density of 32 bits per millimeter (800 bits per inch) using phase encoding techniques, including associated programs, shall provide the capability to accept and generate recorded tapes in compliance with the requirements set forth in FIPS PUB 51.

(End of requirement statement)

§ 201-8.105-18 FIPS PUB 52, Recorded Magnetic Tape Cartridge for Information Interchange, 4-Track, 6.30 mm (0.250 in), 63 BPMM (1600 BPI), Phase Encoded.

(a) FIPS PUB 52 specifies the recorded characteristics for a 6.30 mm (0.250 in) wide magnetic tape cartridge with either one, two, or four serial data tracks in order to provide for data interchange between information processing systems, communication systems, and associated equipment at a recording density of 63 bits per millimeter (BPMM) (1600 bits per inch (BPI)) using phase encoding recording techniques. FIPS PUB 52 adopts the technical specifications contained in

American National Standard X3.56-1977, same title, with one exception as noted in the FIPS.

(b) The standard terminology for use in requirements documents, including solicitations, is:

RECORDED CHARACTERISTICS—63 BPMM 6.30 MM TAPE (DEC 85 FIRMR)

All magnetic tape cartridge recording and reproducing equipment which results from this requirement and employs 6.30 mm (0.250 in) wide magnetic tape with one, two, or four independent serial data tracks at recording densities of 63 bits per millimeter (1600 bits per inch) using phase encoding techniques, including associated software, shall provide the capability to accept and generate recorded magnetic tape cartridges in the code and format as specified in FIPS PUB 1-2 and FIPS PUB 52.

(End of requirement statement)

[FIRMR Amdt. 1, 50 FR 4346, Jan. 30, 1085, as amended by FIRMR Amdt. 6, 51 FR 8320, Mar. 11, 1986]

§ 201-8.105-19 FIPS PUB 54, Computer Output Microform (COM) Formats and Reduction Ratios, 16 mm and 105 mm.

(a) FIPS PUB 54 specifies the image arrangement, size, and reduction for 16 mm and 105 mm microforms generated by computer output microfilmers. It is limited to systems using business-oriented fonts similar to line printer output. The standard does not cover engineering drawings or microphoto composition using complex graphics or graphic arts fonts and formats, nor does it cover special systems using two-step reduction techniques.

(b) The standard terminology for use in requirements documents, including solicitations, is:

COMPUTER GENERATED MICROFORMS—PLAIN TYPE FACES (APR 84 FIRMR)

All applicable equipment or services that may result from this requirement that produce computer generated microforms using plain type faces must be in compliance with FIPS PUB 54.

(End of requirement statement)

§ 201-8.105-20 FIPS PUB 60-2, Input/Output (I/O) Channel Interface.

(a) FIPS PUB 60-2 defines the functional, electrical and mechanical interface specifications for connecting computer peripheral equipment as a part of automatic data processing (ADP) systems. This standard, with a companion standard for power control (FIPS PUB 61-1), defines the hardware characteristics for the I/O channel interface. Three related standards specify how the interface is to be used when connecting particular classes of peripheral devices. They are FIPS PUB 62, Operational Specifications for Magnetic Tape Subsystems; FIPS PUB 63-1, Operational Specifications for Variable Block Rotating Mass Storage Subsystems; and FIPS PUB 97, Operational Specifications for Fixed Block, Rotating Mass Storage Subsystems.

(b) FIPS PUB 60-2 is applicable to the acquisition of all ADP systems and peripheral subsystems acquired by the Federal Government except minicomputer, microcomputer, and other small-scale systems that are specifically excluded by the National Bureau of Standards (NBS). The standard contains applicability, implementation, and waiver provisions. A list of currently excluded systems and the current criteria for excluding them is developed, maintained, and periodically distributed to Federal agencies by NBS and is available from NBS upon request.

(c) The correct operation of interfaces required to conform to FIPS PUB 60-2 must be verified by NBS before the acceptance of all applicable ADP equipment. A list of equipment having verified interfaces is maintained and periodically distributed to Federal agencies by NBS upon request. It identifies each interface verified and the conditions under which it was verified.

(d) The standard terminology for use in requirements documents, including solicitations, is:

APPLICABILITY OF FIPS PUB 60-2 (INPUT/OUTPUT (I/O) CHANNEL INTERFACE) (MAY 84 FIRMR)

Unless otherwise excluded as specified in FIPS PUB 60-2 or unless a waiver is granted following the waiver procedures specified in FIPS PUB 60-2, ADP systems and peripheral subsystems that may result from this solicitation, must conform to FIPS PUB 60-2 for the connection of computers to those general classes of peripheral subsystems (such as magnetic tape or disk subsystems)

for which operational specifications have been issued and are in effect. The correct operation of these system's conforming interfaces must be verified before the acceptance of all applicable ADP equipment. Arrangements for verification may be made according to procedures issued by the National Bureau of Standards. These procedures may be obtained by writing the Director, Institute for Computer Sciences and Technology, National Bureau of Standards, Gaithersburg, MD 20899, Attention: Verification of I/O Channel Interface Standards. The Government may, at its options, apply instrumentation and test equipment at any interface required to conform with FIPS PUB 60-2 before the acceptance of these ADP systems to ensure conformance with FIPS PUB 60-2.

(End of requirement statement)

(e) Verification procedures regarding FIPS PUBS 60-2 and 63-1 were published on December 11, 1979 (44 FR 71445). A verification procedure checklist was also published on February 27, 1980 (45 FR 12862). Questions may be directed to the Center for Computer Systems Engineering, Institute for Computer Sciences and Technology, NBS, Gaithersburg, MD 20899.

[FIRMR Amdt. 4, 50 FR 27147, July 1, 1985]

§ 201-8.105-21 FIPS PUB 61-1, Channel Level Power Control Interface.

(a) FIPS PUB 61-1 defines the functional, electrical, and mechanical interface specifications for a power control interface for use in connecting computer peripheral equipment as a part of ADP systems. This standard, with a companion standard for I/O Channel Interface (FIPS PUB 60-2), defines the hardware characteristics for the I/O channel level interface. This standard provides that FIPS PUB 61-1 is applicable whenever use of FIPS PUB 60-2 is required. If waivers are applicable to a requirement, the requirements document shall so state.

(b) The correct operation of all interfaces required to conform to FIPS PUB 61-1 must be verified by NBS before the acceptance of all applicable ADP equipment. A list of equipment having verified interfaces will be established, maintained, and periodically distributed by NBS and will be available from NBS upon request. This list will identify each interface verified and the conditions of verification. The solicitation document shall require offerors to state the status of verification for those interfaces for which conformance is required.

(c) The standard terminology for use in requirements documents, including solicitations, is:

CHANNEL LEVEL POWER CONTROL INTERFACE (APR 84 FIRMR)

Unless otherwise excluded as specified in FIPS PUB 61-1 by reference to FIPS PUB 60-2 or unless a waiver is granted following the waiver procedures specified in FIPS PUB 61-1, ADP systems and peripheral subsystems that may result from this requirement, and for which operational specifications FIPS PUBS (such as FIPS PUBS 62 and 63-1) have been issued and are in effect, must conform to FIPS PUB 61-1. The correct operation of these systems conforming interfaces must be verified before the acceptance of all applicable ADP equipment in accordance with § 201-8.105-21(b). Arrangements for verification may be made according to procedures issued by NBS. These procedures may be obtained by writing the Director, Institute for Computer Sciences and Technology, National Bureau of Standards, Gaithersburg, MD 20899, Attention: Verification of I/O Channel Level Interface Standards. The Government may, at its option, apply instrumentation and test equipment at any interface required to conform to FIPS PUB 61-1 before the acceptance of these ADP systems to ensure conformance with FIPS PUB 61-1. Waivers applicable to the requirements of this solicitation are identified elsewhere in this solicitation document.

(End of requirement statement)

§ 201-8.105-22 FIPS PUB 62, Operational Specifications for Magnetic Tape Subsystems.

(a) FIPS PUB 62 defines the peripheral device dependent operational interface specifications for connecting magnetic tape equipment as a part of ADP systems. It is to be used with FIPS PUB 60-2, I/O Channel Interface, and FIPS PUB 61-1, Channel Level Power Control Interface. This standard, with FIPS PUBS 60-2 and 61-1, provides for full plug-to-plug interchangeability of magnetic tape equipment as a part of ADP systems. This standard provides that FIPS PUB 62 is applicable to the acquisition

of all magnetic tape equipment whenever the use of FIPS PUB 60-2 is required. If waivers are applicable to a requirement, the requirements document shall so state.

(b) The correct operation of all interfaces required to conform to FIPS PUB 62 must be verified by NBS before the acceptance of all applicable ADP equipment. A list of equipment having verified interfaces will be established, maintained, and periodically distributed to all Federal agencies by NBS and will be available from NBS upon request. This list will identify each interface verified and the conditions of verification. The requirements document shall require offerors to state the status of verification for those interfaces for which conformance is required.

(c) The standard terminology for use in requirements documents, including solicitations, is:

MAGNETIC TAPE SUBSYSTEMS (APR 84 FIRMR)

Unless otherwise excluded as specified in FIPS PUB 62 by reference to FIPS PUB 60-2 or unless a waiver is granted following the procedures specified in FIPS PUB 62, ADP systems and magnetic tape subsystems that may result from this requirement must conform to FIPS PUB 62. The correct operation of these systems' conforming interfaces must be verified before the acceptance of all applicable ADP equipment in accordance with § 201-8.105-22(b). Arrangements for verification may be made according to procedures issued by NBS. These procedures may be obtained by writing the Director, Institute for Computer Sciences and Technology, National Bureau of Standards, Gaithersburg, MD 20899, Attention: Verification of I/O Channel Level Interface Standards. The Government may, at its option, apply instrumentation and test equipment at any interface required to conform to FIPS PUB 62, before the acceptance of these ADP systems to ensure conformance with FIPS PUB 62. Waivers applicable to this requirements document are identified elsewhere in this document.

(End of requirement statement)

§ 201-8.105-23 FIPS PUB 63-1, Operational Specifications for Variable Block, Rotating Mass Storage Subsystems.

(a) FIPS PUB 63-1 defines the peripheral device dependent operational interface specifications for connecting variable block, rotating mass storage subsystems, such as magnetic disk equipment, to ADP systems. It is to be used with FIPS PUB 60-2, I/O Channel Interface, and FIPS PUB 61-1, Channel Level Power Control Interface. FIPS PUBS 60-2, and 61-1, plus this standard, provide for full plug-to-plug interchangeability of variable block, rotating mass storage equipment as a part of ADP systems. FIPS PUB 63-1 applies to the acquisition of variable block magnetic disk equipment if use of FIPS PUB 60-2 and 61-1 is required. If waivers apply to a solicitation, the requirements document shall so state.

(b) NBS must verify the correct operation of interfaces required to conform to FIPS PUB 63-1 before the applicable ADP equipment can be accepted. NBS establishes, maintains, and distributes to Federal agencies a list of equipment with verified interfaces; it is also magnetic disk equipment if use of FIPS PUB 60-2 and 61-1 is required. If waivers apply to a solicitation, the requirements document shall so state.

(b) NBS must verify the correct operation of interfaces required to conform to FIPS PUB 63-1 before the applicable ADP equipment can be accepted. NBS establishes, maintains, and distributes to Federal agencies a list of equipment with verified interfaces; it is also available from NBS upon request. The list identifies each interface verified and the conditions of verification. The solicitation document shall require offerors to state the status of verification for those interfaces for which conformance is required.

(c) An alternative to FIPS PUB 63-1 is FIPS PUB 97, Operational Specifications for Fixed Block, Rotating Mass Storage Subsystems. If either standard is used, the other is not required. Additional operational specifications are available from NBS in a report titled, "Additional Operational Specifications for Variable Block, Rotating Mass Storage Devices (FIPS PUB 63-1 SUP)," which provides track format definition and specifies the sense information format and content for particular classes of variable block, rotating mass storage devices. Whenever FIPS PUB 63-1 is specified, con-

formance to the supplemental device dependent characteristics contained in the above mentioned NBS report also may be required at the option of the procuring agency.

(d) When an agency determines that the nature of the requirement is such that conformance to the supplemental device dependent characteristics contained in the report is required, the requirements provision in paragraph (e) of this section shall be included in the requirements document, including solicitation. However, if an agency determines that it is not essential to require conformance to the supplemental device dependent characteristics contained in the report, the requirements provision in paragraph (f) of this section shall be included in the document.

(e) The standard terminology when supplemental device characteristics are required is, as follows:

APPLICABILITY OF FIPS PUB 63-1 (INTERFACE: ADP SYSTEMS VARIABLE BLOCK, ROTATING MASS STORAGE SUBSYSTEMS WITH CONFORMANCE TO SUPPLEMENTAL DEVICE DEPENDENT CHARACTERISTICS) (MAY 84 FIRMR)

Unless otherwise excluded as specified in FIPS PUB 63-1 by reference to FIPS PUBS 60-2 and 61-1 or unless a waiver is granted following the waiver procedures specified in FIPS PUB 63-1, ADP systems and variable block, rotating mass storage subsystems that may result from this solicitation must conform to FIPS PUB 63-1. In addition, conformance to the specifications for Class(es) [Insert class(es)] as contained in the NBS report entitled "Additional Operational Specifications for Variable Block Rotating Mass Storage Devices" is required. The correct operation of all interfaces, whose conformance to FIPS PUB 63-1 and the above designated class(es) is required, must be verified before the acceptance of all applicable ADP equipment in accordance with FIRMR § 201-8.105-23(b). Arrangements for verification may be obtained by writing the Director, Institute for Computer Sciences and Technology, National Bureau of Standards, Gaithersburg, MD 20899, Attention: Verification of Operational Specifications for Rotating Mass Storage Subsystems. The Government may, at its options, apply instrumentation and test equipment at any interface required to conform to FIPS PUB 63-1 before the acceptance of these ADP systems to ensure conformance with FIPS PUB 63-1. Waivers applicable to the requirements of this solicitation are identified elsewhere in this solicitation document.

(End of requirement statement)

(f) The standard terminology when supplementary device characteristics are not required is, as follows:

APPLICABILITY OF FIPS PUB 63-1 (INTERFACE: ADP SYSTEMS VARIABLE BLOCK, ROTATING MASS STORAGE SUBSYSTEMS WITHOUT SUPPLEMENTARY DEVICE DEPENDENT CHARACTERISTICS) (MAY 84 FIRMR)

Unless otherwise excluded as specified in FIPS PUB 63-1 by reference to FIPS PUB 60-2 and 61-1 or unless a waiver is granted following the waiver procedures specified in FIPS PUB 63-1, ADP systems and variable block, rotating mass storage subsystems that may result from this solicitation must conform to FIPS PUB 63-1. The correct operation of all interfaces, whose conformance to FIPS PUB 63-1 is required, must be verified before the acceptance of all applicable ADP equipment in accordance with FIRMR § 201-8.105-23(b). Arrangements for verification may be obtained by writing the Director, Institute for Computer Sciences and Technology, National Bureau of Standards, Gaithersburg, MD 20899, Attention: Verification of Operational Specifications for Rotating Mass Storage Subsystems. The Government may, at its option, apply instrumentation and test equipment at any interface required to conform to FIPS PUB 63-1 before the acceptance of these ADP systems to ensure conformance with FIPS PUB 63-1. Waivers applicable to the requirements of this solicitation are identified elsewhere in this solicitation document.

(End of requirement statement)

[FIRMR Amdt. 4, 50 FR 27147, July 1, 1985]

§ 201-8.105-24 FIPS PUB 81, Data Encryption Standard (DES) Modes of Operations.

(a) FIPS PUB 81 defines four modes of operation that shall be used with the Data Encryption Standard (DES) described in FIPS PUB 46. These modes specify how sensitive computer data will be encrypted (cryptographically protected) and decrypted (returned to original form). This standard shall be used by Federal agencies when acquiring equipment or services that implement the DES in accordance with the provisions of § 201-8.105-15(a).

(b) FIPS PUB 81 specifies the recommended modes of operation for the

DES but does not contain requirements for their secure implementation in particular applications. This standard anticipates the development of a set of application standards to achieve this objective.

(c) The standard terminology for use in requirements documents, including solicitations, issued on or after the effective date of FIPS PUB 81 is:

MODES OF OPERATION—DATA ENCRYPTION (APR 84 FIRMR)

Equipment and services offered as a result of this requirement that implement the Data Encryption Standard (FIPS PUB 46) and that are intended for use in the cryptographic protection of sensitive but unclassified computer data, shall use one or more of the modes of operation specified in FIPS PUB 81.

(End of requirement statement)

§§ 201-8.105-25—201-8.105-27 [Reserved]

§ 201-8.105-28 FIPS PUB 84, Microfilm Readers.

(a) FIPS PUB 84 announces the adoption of the American National Standard for Microfilm Readers (ANSI/NMA MS20-1979). This standard defines the minimum levels of image quality, illumination, and related characteristics for equipment that displays computer-generated microforms that conform to FIPS PUB 54, Computer Output Microform (COM) Formats and Reduction Ratios, 16mm and 105mm. (See § 201-8.105-19.) FIPS PUB 84 also specifies the maximum safe temperatures and noise levels for microform readers.

(b) The standard terminology for use in requirements documents, including solicitations, is:

MICROFORM READERS (APR 84 FIRMR)

Microform readers offered as a result of this requirement that display computer-generated microforms conforming to FIPS PUB 54 shall comply with the statements of FIPS PUB 84.

(End of requirement statement)

§ 201-8.105-29 FIPS PUB 85, Optical Character Recognition (OCR) Inks.

(a) FIPS PUB 85 defines the spectral band for read inks and provides spectrophotometric curves for red and blue nonread inks. FIPS PUB 85 is applicable to the acquisition and use by Federal agencies of inks and preprinted forms that will be read by OCR techniques when the interchange of machine-readable information between different systems will be required.

(b) Because of the widely diverse nature of OCR applications, FIPS PUB 85 may not include all of the necessary specifications or considerations for a successful OCR system. American National Standard X3.86-1980 (which is adopted in whole by FIPS PUB 85) recommends consultation among users, suppliers, and manufacturers when new equipment or a new ink with a spectral band different from that specified in the standard is available. When an agency determines that new OCR equipment or a new ink can meet its functional requirements at a lower overall cost, a functional product description may be substituted for FIPS PUB 85.

(c) The standard terminology for use in requirements documents, including solicitations, is:

OCR INKS (APR 84 FIRMR)

Inks and preprinted forms offered as a result of this requirement shall be required to conform to the provisions of FIPS PUB 85 if they will be read by OCR techniques and if the interchange of machine-readable information between different systems may be required.

(End of requirement statement)

§ 201-8.105-30 FIPS PUB 86, Additional Controls for Use With American National Standard Code for Information Interchange.

(a) FIPS PUB 86 specifies a set of encoded control functions to supplement the basic control functions defined in FIPS PUB 1-2 to facilitate data interchange between data processing equipment and two-dimensional, character-imaging, input-output devices.

(b) The architectural assumptions for devices for use with FIPS PUB 86 are contained in American National Standard X3.64-1979, which is part of the FIPS PUB.

(c) The standard terminology for use in requirements documents, including solicitations, is:

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ADDITIONAL ASCII CONTROLS FOR CHARACTER-IMAGING ADP EQUIPMENT OR SERVICES (DEC 85 FIRMR)

All applicable ADP character-imaging equipment or services (e.g., interactive ADP terminals of the display and printer type, line printers, microfilm printers, typesetting composers, word processors, and related devices or services using such devices) must comply with the requirements set forth in FIPS PUB 86 when such equipment or services employ the character set and encoding conventions prescribed in FIPS PUB 1-2, employ primarily character-oriented controls, and are consistent with the architectural assumptions for devices in Appendix B, ANSI X3.64-1979. All ADP terminals that meet these conditions are included in this requirement if they contain alphanumeric keyboards and CRT displays or printers that may be used in any form of on-line interactive application or stand alone off-line data preparation. Computer resident control software may be used, but is not required, to implement specific features of FIPS PUB 86, unless specified elsewhere in this document [*insert reference here*].

(End of requirement statement)

[FIRMR Amdt. 6, 51 FR 8320, Mar. 11, 1986]

§ 201-8.105-31 FIPS PUB 89, Optical Character Recognition (OCR) Character Positioning.

(a) FIPS PUB 89 specifies the nominal and allowable tolerances of OCR characters (Styles A and B of FIPS PUB 32-1) in relation to other characters and reference points of a document or page. It adopts American National Standard X3.93M-1981, "Standard for Optical Character Recognition (OCR) Character Positioning," in its entirety. This standard is to be used in conjunction with FIPS PUB 32-1, and is applicable to the acquisition of OCR printers, readers, and printed forms.

(b) The standard terminology for use in requirements documents, including solicitations, is:

OCR PRINTERS, READERS, AND PRINTED FORMS (APR 84 FIRMR)

OCR printers, readers, and printed forms offered as a result of the requirements of which this is a part shall conform to the statements of the Federal Standard for Optical Character Recognition (OCR) Character Positioning, as stated in FIPS PUB 89, when the interchange of machine sensible information between different systems is required as specified elsewhere in this requirements document [*insert reference here*].

(End of requirement statement)

[FIRMR Amdt. 1, 50 FR 4346, Jan. 30, 1985, as amended by FIRMR Amdt. 6, 51 FR 8320, Mar. 11, 1986]

§ 201-8.105-32 FIPS PUB 91, Magnetic Tape Cassettes for Information Interchange, Dual Track, Complementary Return-to-Bias (CRB) Four-States Recording on 3.81 mm (0.150 in) Tape.

(a) FIPS PUB 91 specifies the recording characteristics for a 3.81 mm (0.150 in) wide magnetic tape cassette with data recorded on two tracks using complementary recordings and a return-to-bias method of encoding. FIPS PUB 91 adopts the technical specifications contained in American National Standard X3.59-1981, same title.

(b) The standard terminology to be used in requirements documents, including solicitations, is:

DIGITAL MAGNETIC TAPE CASSETTE EQUIPMENT AND ASSOCIATED PROGRAMS (APR 84 FIRMR)

All digital magnetic tape cassette recording and reproducing equipment which employ dual track, complementary return-to-bias (CRB), four-states recording techniques on 3.81 mm (0.150 in) tape, including associated programs, offered as a result of the requirement of which this is a part shall provide the capability to accept and generate recorded tape cassettes in compliance with the requirements set forth in the Federal standard as stated in FIPS PUB 91 and as specified elsewhere in this requirements document [*insert reference here*].

(End of requirement statement)

[FIRMR Amdt. 1, 50 FR 4346, Jan. 30, 1985, as amended by FIRMR Amdt. 6, 51 FR 8320, Mar. 11, 1986]

§ 201-8.105-33 FIPS PUB 93, Parallel Recorded Magnetic Tape Cartridge for Information Interchange, 4 Track 6.30 mm (0.250 in), 63 BPMM (1600 BPI), Phase Encoded.

(a) FIPS PUB 93 specifies the recorded characteristics for a 6.30 mm (0.250 in) wide magnetic tape cartridge with data recorded across four parallel tracks in order to provide for data interchange between information

processing systems at a recording density of 63 bits per millimeter (BPMM) (1600 bits per inch (BPI)) using phase encoding techniques. FIPS PUB 93 adopts the technical specifications contained in American National Standard X3.72-1981, same subject.

(b) The standard terminology for use in requirements documents, including solicitations, is:

MAGNETIC TAPE CARTRIDGE EQUIPMENT AND ASSOCIATED SOFTWARE (DEC 85 FIRMR)

All magnetic tape cartridge recording and reproducing equipment which results from this requirement and employs 6.30 mm (0.250 in) wide magnetic tape with data recorded across four parallel tracks at recording densities of 63 bits per millimeter (1600 bits per inch) using phase encoding techniques, including associated software, shall provide the capability to accept and generate recorded magnetic tape cartridges in the code and format as specified in FIPS PUB 1-2 and FIPS PUB 93.

(End of requirement statement)

[FIRMR Amdt. 1, 50 FR 4346, Jan. 30, 1985, as amended by FIRMR Amdt. 6, 51 FR 8321, Mar. 11, 1986]

§ 201-8.105-34 FIPS PUB 97, Operational Specifications for Fixed Block, Rotating Mass Storage Subsystems.

(a) FIPS PUB 97 defines the peripheral device dependent operational interface specifications for connecting fixed block, rotating mass storage subsystems, such as magnetic disk equipment, to ADP systems. It is to be used with FIPS PUB 60-2, I/O Channel Interface, and FIPS PUB 61-1, Channel Level Power Control Interface. FIPS PUBS 60-2 and 61-1 plus this standard, provide for full plug-to-plug interchangeability of fixed block, rotating mass storage equipment as a part of ADP systems. FIPS PUB 97 applies to the acquisition of fixed block magnetic disk equipment if FIPS PUBS 60-2 and 61-1 are required. If waivers apply to a solicitation, the requirements document shall so state.

(b) NBS must verify the correct operation of interfaces required to conform to FIPS PUB 97 before the applicable ADP equipment can be accepted. NBS establishes, maintains, and distributes to Federal agencies a list of equipment with verified interfaces; it is also available from NBS upon request. The list identifies each interface verified and the conditions of verification. The solicitation document shall require offerors to state the status of verification for those interfaces for which conformance is required.

(c) An alternative to FIPS PUB 97 is FIPS PUB 63-1, Operational Specifications for Variable Block, Rotating Mass Storage Subsystems. If either standard is used, the other is not required.

(d) The standard terminology for use in requirements documents, including solicitations, is:

APPLICABILITY OF FIPS PUB 97 (INTERFACE: ADP SYSTEMS/FIXED BLOCK, ROTATING MASS STORAGE SUBSYSTEMS) (MAY 84 FIRMR)

Unless otherwise excluded as specified in FIPS PUB 97 by reference to FIPS PUBS 60-2 and 61-1 or unless a waiver is granted, following the waiver procedures specified in FIPS PUB 97, ADP systems and fixed block, rotating mass storage subsystems that may result from this solicitation must conform to FIPS PUB 97. The correct operation of all interfaces whose conformance to FIPS 97 is required must be verified before the acceptance of all applicable ADP equipment. Arrangements for verification may be made according to procedures issued by NBS. These procedures may be obtained by writing the Director, Institute of Computer Sciences and Technology, National Bureau of Standards, Gaithersburg, MD 20899, Attention: Verification of Operational Specifications for Rotating Mass Storage Subsystems. The Government may, at its option, apply instrumentation and test equipment at any interface required to conform to FIPS PUB 97 before the acceptance of these ADP systems to ensure conformance with FIPS PUB 97. Waivers applicable to the requirements of this solicitation are identified elsewhere in this solicitation documen'.

(End of requirement statement)

[FIRMR Amdt. 4, 50 FR 27148, July 1, 1985]

§ 201-8.105-35 FIPS PUB 107, Local Area Networks: Baseband Carrier Sense Multiple Access with Collision Detection Access Method and Physical Layer Specifications and Link Layer Protocol.

(a) FIPS PUB 107 applies to local area networks that employ the carrier

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sense multiple access with collision detection (CSMA/CD) access method where compatibility with the architecture of the ISO Reference Model for Open Systems Interconnection is required. The standard provides the mechanical, electrical, functional and procedural specifications and the link protocol required to establish physical connections to transmit bits and to send data link frames between nodes of a local area network. The local area network spans a local area with a baseband coaxial cable of up to 2500 meters in length, transmitting at 10 megabits per second.

(b) The standard terminology for use in requirements documents, including solicitations, is:

LOCAL AREA NETWORK EQUIPMENT AND SERVICES EMPLOYING CSMA/CD (DEC 85 FIRMR)

All local area network services and equipment employing CSMA/CD which result from this requirement shall provide the capability to transmit bits and to send data link frames between nodes in compliance with the requirements set forth in FIPS PUB 107.

(End of requirement statement)

[FIRMR Amdt. 6, 51 FR 8321, Mar. 11, 1986]

§ 201–8.105–36 FIPS PUB 108, Alphanumeric Computer Output Microform Quality Test Slide.

(a) FIPS PUB 108 provides information necessary for the preparation of a test form slide to ensure the generation of quality microforms by computers. It should be used for the acquisition of test form slides procured to verify and monitor the quality of microforms generated by alphanumeric computer output microform devices.

(b) The standard terminology for use in requirements documents, including solicitations, is:

TEST FORM SLIDES FOR COMPUTER OUTPUT MICROFORM DEVICES (DEC 85 FIRMR)

All test form slides that verify and maintain the quality of microforms generated by computer output microform devices offered as a result of this requirement must comply with FIPS PUB 108.

(End of requirement statement)

[FIRMR Amdt. 6, 51 FR 8321, Mar. 11, 1986]

§ 201–8.105–37 FIPS PUB 111, Storage Module Interfaces (With Extensions for Enhanced Storage Module Interfaces).

(a) FIPS PUB 111 defines the mechanical, electrical, and functional requirements for attaching disk drives to their control unit. This resulting interface will facilitate the interconnection of disk drives and the control unit, as part of a storage module subsystem, providing a common interface specification for both controller and disk subsystems that are employed with small to medium sized computer systems which are generally excluded from the provisions of FIPS 60–2, 61–1, 63–1, and 97.

(b) This standard adopts American National Standard X3.91M–1982, Enhanced Storage Module Interfaces, and may be used as an alternative to FIPS 60–2, FIPS 61–1, and either FIPS 63–1 or FIPS 97 for those instances when FIPS 60–2 would otherwise be applicable. When FIPS 111 is employed, FIPS 60–2 need not be used. However, any waiver of FIPS 60–2 is also a waiver of FIPS 111.

(c) While it is not economical or practical to require extensive verification of storage module drives (SMD) products offered to the Government, procuring agencies may, at their option, require that correct operation of all interfaces conforming to FIPS 111 be verified through demonstration or other means acceptable to the Government prior to acceptance of applicable equipment. In special cases, NBS may assist agencies in evaluating conformance to the SMD interface. Arrangements for verification assistance can be made by contacting the Center for Computer Systems Engineering, Institute for Computer Sciences and Technology, National Bureau of Standards, Gaithersburg, MD 20899.

(d) The standard terminology for use in requirements documents including solicitations, is:

STORAGE MODULE INTERFACES (WITH EXTENSIONS FOR ENHANCED STORAGE MODULE INTERFACES) (DEC 85 FIRMR)

Unless a waiver is granted following the waiver procedures specified in FIPS PUB 111, or unless this requirement requires conformance with FIPS PUB 60-2, ADP systems and disk storage subsystems that may result from this requirement must conform to FIPS PUB 111. Waivers applicable to this requirements document are identified elsewhere in this document. At the option of the Government, the correct operation of these systems' conforming interfaces must be verified before the acceptance of all applicable ADP equipment.

(End of requirement statement)

[FIRMR Amdt. 6, 51 FR 8321, Mar. 11, 1986]

§ 201-8.106 Software standards other than programing languages requirement statements.

This section provides standard terminology for use in requirements documents including solicitations for FIPS PUBS which have been implemented by GSA in the area of standardization listed in § 201-8.103-3 except the area of programing languages. (Standard terminology for use in requirements documents in the area of programing languages is set forth in § 201-8.107.)

§ 201-8.106-1 [Reserved]

§ 201-8.106-2 FIPS PUB 24, Flowchart Symbols and Their Usage in Information Processing.

(a) FIPS PUB 24 established standard flowchart symbols and specifies their use in the preparation of flowcharts in documenting information processing systems. FIPS PUB 24 adopts the technical specifications contained in American National Standard X3.5-1970, same title.

(b) The standard terminology for use in requirements documents, including solicitations, is:

FLOWCHART SYMBOLS (APR 84 FIRMR)

All new information processing system documentation involving the use of flowcharts that may result from this requirements document must comply with FIPS PUB 24.

(End of requirement statement)

§ 201-8.106-3 FIPS PUB 30, Software Summary for Describing Computer Programs and Automated Data Systems.

(a) FIPS PUB 30 provides for the use of Standard Form (SF) 185, Federal Information Processing Standard Software Summary, and the instructions for describing computer programs and/or automated data systems for identification purposes. (Copies of SF 185 are available as a GSA Federal supply stock item NSN 7540-118-8541.)

(b) The standard terminology for use in requirements documents, including solicitations, is:

SOFTWARE SUMMARY DESCRIPTIONS (APR 84 FIRMR)

All documentation of computer programs and/or automated data systems that results from this requirement must include completed SF 185 summaries as described by FIPS PUB 30.

(End of requirement statement)

§ 201-8.106-4 FIPS PUB 53, Transmittal Form for Describing Computer Magnetic Tape File Properties.

(a) FIPS PUB 53 provides for the use of Standard Form (SF) 277, Computer Magnetic Tape File Properties, together with the instructions for providing the necessary information on the form. The form is to be used by Federal agencies to document the physical properties and characteristics of a recorded magnetic tape file needed by the receiving agency to process the tape.

(b) The standard terminology for use in requirements documents, including solicitations, is:

COMPUTER MAGNETIC TAPE FILE PROPERTIES (APR 84 FIRMR)

All magnetic tape used to transmit coded information to the Federal Government as a result of this requirement must include completed Standard Form 277 describing magnetic tape file properties as set forth in FIPS PUB 53.

(End of requirement statement)

§ 201-8.106-5 FIPS PUB 79, Magnetic Tape Labels and File Structure for Information Interchange.

(a) FIPS PUB 79 establishes four levels of labeling, label formats, blocking structure, and tape-mark relationships on magnetically recorded tapes so that the tapes can be used for information interchange. Information processing systems that either generate or accept magnetic tapes for information interchange shall have the capability of generating and processing magnetic tape labels and file structure in accordance with FIPS PUB 79.

(b) Specifications described in FIPS PUB 79 must be used in the interchange of magnetic tapes unless the interchanging parties can agree on an alternative interchange format that is more efficient and cost effective.

(c) The standard terminology for use in requirements documents, including solicitations, issued on or after the effective date of FIPS PUB 79 is:

MAGNETIC TAPE LABELS AND FILE STRUCTURE (APR 84 FIRMR)

Information processing systems using nine-track tape drives and new tape label processing facilities that will be part of an information processing system, offered as a result of this requirement shall be capable of generating and processing tape labels and file structures that conform to one of the four levels of FIPS PUB 79 if the information processing system either generates or accepts magnetic tapes for information interchange. Offerors shall specify the level of conformance and certify that a copy of the current users manual is on file with the National Bureau of Standards as required by FIPS PUB 79.

(End of requirement statement)

§ 201-8.106-6 [Reserved]

NOTE: The Secretary of Commerce has decided to suspend the implementation of FIPS 98, Message Format for Computer Based Message Systems, indefinitely pending its revision (see 50 FR 9480, March 8, 1985).

§ 201-8.107 Federal Information Processing Standards (FIPS) programing languages requirement statements.

Agencies use high level languages for certain computer application programs. When a FIPS PUB which has been implemented by GSA is applicable to any of those languages, the statements of the related subsection of this section shall be followed.

§ 201-8.107-1 FIPS PUB 21-1, COBOL.

(a) FIPS PUB 21-1 specifies the use of American National Standard Programing Language COBOL, X3.23-1974, as the Federal Standard COBOL.

(b) The standard terminology for use in requirements documents, including solicitations, is:

ACQUISITION OF COBOL LANGUAGE COMPILERS (APR 84 FIRMR)

COBOL compilers offered as a result of the requirements of which this is a part shall implement all of the language elements of the level of Federal Standard COBOL specified elsewhere in this requirements document [*insert reference here*] as well as any additional language elements specified elsewhere in this document [*insert reference*]. The compiler shall enable the user to specify optionally a level of Federal Standard COBOL that will monitor the source program at compile time. The compiler shall have the capability to monitor each level at or below the highest level of implementation for the compiler. The monitoring capability shall consist of an analysis of the syntax included in the level as selected for monitoring. Any syntax not conforming to the specified level shall be identified through a diagnostic message in the source program listing. The diagnostic message shall contain at least the identification of the source program line number for each nonconforming syntax and identify the level of Federal Standard COBOL that supports the syntax, or shall indicate that the syntax is nonstandard COBOL.

(End of requirement statement)

[FIRMR Amdt. 1, 50 FR 4346, Jan. 30, 1985, as amended by FIRMR Amdt. 6, 51 FR 8321, Mar. 11, 1986]

§ 201-8.107-2 FIPS PUB 68, Minimal BASIC.

(a) FIPS PUB 68 specifies the use of American National Standard Minimal BASIC, X3.60-1978, as the Federal Standard Minimal BASIC.

(b) The standard terminology for use in requirements documents, including solicitations, is:

ACQUISITION OF BASIC LANGUAGE COMPILERS (APR 84 FIRMR)

BASIC compilers offered as a result of the requirements of which this is a part shall implement Federal Standard Minimal BASIC, as well as any additional language elements as specified elsewhere in the requirements document [*insert reference here*].

(End of requirement statement)

[FIRMR Amdt. 1, 50 FR 4346, Jan. 30, 1985, as amended by FIRMR Amdt. 6, 51 FR 8321, Mar. 11, 1986]

§ 201-8.107-3 FIPS PUB 69, FORTRAN.

(a) FIPS PUB 69 specifies the use of American National Standard Programming Language FORTRAN, X3.9-1978, as the Federal Standard FORTRAN.

(b) The standard terminology for use in requirements documents, including solicitations, is:

ACQUISITION OF FORTRAN LANGUAGE COMPILERS (APR 84 FIRMR)

FORTRAN compilers offered as a result of the requirements of which this is a part shall implement all of the language elements of the level of Federal Standard FORTRAN specified elsewhere in this requirements document [*insert reference here*], as well as any additional language elements as specified elsewhere in this document [*insert reference*]. The compiler shall enable the user to monitor any statement appearing in the source program that does not conform syntactically to the specifications of Federal Standard full FORTRAN.

(End of requirement statement)

[FIRMR Amdt. 1, 50 FR 4346, Jan. 30, 1985, as amended by FIRMR Amdt. 6, 51 FR 8321, Mar. 11, 1986]

§ 201-8.108 Development or acquisition of application programs.

(a) Requirements documents for the development or acquisition of application programs shall specify the use of FIPS programing languages unless the agency determines under procedures established by its Senior Official designated under the Paperwork Reduction Act of 1980 (see 44 U.S.C. 3506(b)) that the purpose of economy and efficiency in the use of ADP will not be served through the use of a Federal Standard language.

(b) The standard terminology for use in requirements documents, including solicitations, when application programs are to be developed or acquired using Federal Standard programing languages is:

DEVELOPMENT OR ACQUISITION OF APPLICATION PROGRAMS (APR 84 FIRMR)

When computer application programs are developed or acquired as a result of the requirements of which this is a part, and one of the Federal Standard programing languages is specified elsewhere in the requirements document [*insert reference here*], only the language elements of that Federal Standard, as well as any additional language elements as specified elsewhere in this document [*insert reference*] shall be used. In these cases, if services provided include compilations, compilers used to perform these services shall be validated in accordance with FIRMR § 201-8.109.

(End of requirement statement)

§ 201-8.109 Validation of compilers.

(a) The party offering a compiler asserted to conform to one of the Federal Standard languages shall be responsible for securing validation of the compiler when (1) offered to the Federal Government for purchase, lease, or use in connection with ADP services, or (2) used to develop computer programs when providing programing services or compilation.

(b) A compiler, which is offered or used by vendors as a result of requirements set forth by Federal agencies in requirements documents, including solicitations, shall meet the language elements of the designated FIPS PUB. To confirm that the specifications of the designated FIPS have been met, compiler test cases have been developed and approved for use. Separate Compiler Validation System (CVS) routines for each Federal Standard language are maintained by GSA's Federal Software Testing Center (FSTC).

(c) Federal agencies shall use these test results to confirm that the compiler meets the language elements specifications of that Federal Standard. When an agency has indicated in a requirements document that a waiver applies to a Federal Standard language specification, only the portions of the language that have been waived are excluded from the validation requirements. If the entire Federal

Standard language specification has been waived, there is no compiler validation requirement for that acquisition action.

(d) The FSTC will conduct compiler validations, as specified in the Compiler Testing Procedures, for each requestor. These validations normally shall be conducted annually. Recertification of a previous validation may be substituted for new validation (at the discretion of the FSTC) if no errors were identified during the previous validation and if no change has been made to the compiler, its supporting system software, or the CVS in the interim.

(e) The requestor is responsible for providing the test facilities necessary to perform the validation. The FSTC conducts a validation test using the appropriate CVS and provides a Validation Summary Report summarizing the test results. If the validation results warrant, a Certificate of Validation is issued.

(f) Validation is performed on a cost-reimbursable basis. The FSTC will send the requestor an estimate of validation cost that must be approved before beginning the validation process.

(g) Unresolved questions and/or any ambiguities that are identified by the FSTC or by the requestor shall be referred to NBS for resolution in accordance with FIPS PUB 29-1, Interpretation Procedures for Federal Information Processing Standard Languages.

(h) Requests for, and questions on, validation service should be addressed to: General Services Administration (KFT), Office of Software Development, Federal Software Testing Center, 5203 Leesburg Pike, Suite 1100, Falls Church, VA 22041, Telephone (703) 756-6153 or FTS, 756-6153.

(i) When an agency determines that the nature of the requirement is such that a compiler may be offered that has not yet been validated, the requirement statement in paragraph (j), below, shall be included in requirements documents, including solicitations. This alternative allows a vendor to be responsive to the document if a request for validation of the offered compiler has been made. However, if an agency determines that it is essential for a compiler to be validated before being offered, the requirement statement in paragraph (k), below, shall be included in the document. This latter alternative may tend to restrict competition.

(j) The standard terminology for use in requirements documents, including solicitations, when allowing delayed validation is:

DELAYED VALIDATION OF COMPILERS (APR 84 FIRMR)

In addition to the compiler requirements specified elsewhere in this requirements document, all compilers for Federal Standard programing languages brought into the Federal inventory as a result of this document and those compilers used by vendors to develop programs or provide services shall be tested using the official Compiler Validation System (CVS). Validation shall be in accordance with FIRMR § 201-8.109.

The results of the validation shall be used to confirm that the compiler meets the requirements of the applicable Federal Standard specified elsewhere in this document. To be considered responsive, the offeror shall:

(1) Certify in the offer that all Federal Standard programing language compilers offered in response to this document have been submitted for validation as set forth in § 201-8.109 or have been previously validated and listed in the latest Federal Software Testing Center (FSTC) Certified Compiler List. Proof of current validation will be provided in the form of a Certificate of Validation from the FSTC. Unless specified elsewhere in the requirements document, proof of submission for validation will be in the form of a letter from the FSTC scheduling the validation.

(2) Agree to correct all deviations from the applicable Federal Standard reflected in the Validation Summary Report (VSR) not previously covered by a waiver. All deviations must be corrected within 12 months from the date of contract award unless otherwise specified elsewhere in this document. If an interpretation of the Federal Standard is required that will invoke the procedures set forth in FIPS PUB 29-1, such a request for interpretation shall be made within 30 calendar days after contract award. Any corrections that are required as a result of decision made under the procedures of FIPS PUB 29-1 shall be completed within 12 months of the date of formal notification to the contractor of the approval of the interpretation. Proof of correction in either case will be in the form of a Certificate of Validation from the FSTC for the corrected compiler. Failure to make required correc-

tions within the time limits set forth above shall be deemed a failure to deliver required software. The liquidated damages as specified for failure to deliver the operating system or other software shall apply.

(End of requirement statement)

(k) The standard terminology for use in requirements documents, including solicitations, when requiring prior validation is:

PRIOR VALIDATION OF COMPILERS (APR 84 FIRMR)

In addition to the compiler requirements specified elsewhere in this requirements document, all compilers for Federal Standard programing languages brought into the Federal inventory as a result of this document and those compilers used by vendors to develop programs or provide services shall have been tested using the official Compiler Validation System (CVS). Validation shall be in accordance with FIRMR § 201-8.109.

The results of the validation shall be used to confirm that the compiler meets the requirements of the applicable Federal Standard specified elsewhere in this document. To be considered responsive, the offeror shall:

(1) Certify in the offer that all Federal Standard programing language compilers offered in response to this document have been previously validated as set forth in § 201-8.109 and listed in the latest Federal Software Testing Center (FSTC) Certified Compiler List. Proof of current validation will be provided in the form of a Certificate of Validation from the FSTC.

(2) Agree to correct all deviations from the applicable Federal Standard reflected in the Validation Summary Report (VSR) not previously covered by a waiver. All deviations must be corrected within 12 months from the date of contract award unless otherwise specified elsewhere in this document. If an interpretation of the Federal Standard is required that will invoke the procedures set forth in FIPS PUB 29-1, such a request for interpretation shall be made within 30 calendar days after contract award. Any corrections that are required as a result of decisions made under the procedures of FIPS PUB 29-1 shall be completed within 12 months of the date of formal notification to the contractor of the approval of the interpretation. Proof of correction in either case will be in the form of a Certificate of Validation from the FSTC for the corrected compiler. Failure to make required corrections within the time limits set forth above shall be deemed a failure to deliver required software. The liquidated damages as specified for failure to deliver the operating system or other software shall apply.

(End of requirement statement)

(l) If the party offering the compiler is an activity of the Federal Government, the Federal agency shall be responsible for securing the validation of the compiler in accordance with this § 201-8.109.

[FIRMR Amdt. 1, 50 FR 4346, Jan. 30, 1985, as amended by FIRMR Amdt. 5, 51 FR 8321, Mar. 11, 1986]

§ 201-8.110 Data standards requirement statements.

This section provides standard terminology for use in requirements documents, including solicitations, for FIPS PUBS which have been implemented by GSA in the area of standardization listed in § 201-8.103-4.

§ 201-8.110-1 FIPS PUBS applicable to the interchange of machine processable data between and among agencies.

(a) Data standards facilitate the authorized interchange of data among Federal ADP users and the collection and dissemination of data with State and local governments, industry, and the public. Agencies are also encouraged to use the approved data standards in their data systems when such use contributes to operational benefits, efficiency, or economy. Technical specifications of data standards identified in this § 201-8.110-1 are included in each FIPS PUB with the exception of FIPS PUB 9, Congressional Districts of the United States.

(b) The standard terminology for use in requirements documents, including solicitations, is:

INTERCHANGE OF MACHINE PROCESSABLE DATA (DEC 85 FIRMR)

All application programs resulting from this requirement that have been identified as those that will be interchanged, or that will record data that will be interchanged with Federal agencies, State and local governments, industry, and the public must implement the following applicable approved Federal Information Processing Standards (FIPS):

FIPS PUB 4, Calendar Date.
FIPS PUB 5-1, States and Outlying Areas of the United States.
FIPS PUB 6-3, Counties and County Equivalents of the States of the United States and the District of Columbia.

FIPS PUB 8-5, Metropolitan Statistical Areas Including CMSAs, PMSAs and NECMAs.
FIPS PUB 9, Congressional Districts of the United States.
FIPS PUB 10-3, Countries, Dependencies, Areas of Special Sovereignty, and Their Principal Administrative Divisions.
FIPS PUB 58, Representations of Local Time of the Day for Information Interchange.
FIPS PUB 59, Representations of Universal Time, Local Time Differentials, and United States Time Zone References for Information Interchange.
FIPS PUB 66, Standard Industrial Classification (SIC) Codes.
FIPS PUB 70, Representation of Geographic Point Locations for Information Interchange.
FIPS PUB 95, Code for the Identification of Federal and Federally-Assisted Organizations.
FIPS PUB 103, Codes for the Identification of Hydrologic Units in the United States and the Caribbean Outlying Areas.

(End of requirement statement)

[FIRMR Amdt. 1, 50 FR 4346, Jan. 30, 1985, as amended by FIRMR Amdt. 6, 51 FR 8322, Mar. 11, 1986]

§ 201-8.111 Applications standards requirement statements.

This § 201-8.111 is reserved for future reference to FIPS PUBS and to standard terminology for use in requirements documents in the areas of standardization listed in § 201-8.103-3.

§ 201-8.112 Federal Telecommunication Standards (FED-STD) requirement statements.

This section provides the standard terminology for use in requirements documents, including solicitations, for FED-STDS which have been implemented by GSA in the area of telecommunications.

§ 201-8.112-1 FED-STD 1002, Time and Frequency Reference Information in Telecommunication Systems.

(a) FED-STD 1002 requires that telecommunication facilities and systems of the Federal Government use time and frequency reference information based upon coordinated universal time (UTC).

(b) The standard terminology for use in requirements documents, including solicitations, is:

TIME AND FREQUENCY REFERENCE (APR 84 FIRMR)

All applicable telecommunication facilities and systems that are offered or used as a result of this requirement shall be referenced to the time and frequency standard specified in FED-STD 1002.

(End of requirement statement)

§§ 201-8.112-2—201-8.112-3 [Reserved]

§ 201-8.112-4 FED-STD 1005, Coding and Modulation Requirements for Nondiversity 2400 Bit/Second Modems.

(a) FED-STD 1005 establishes the coding and modulation requirements for 2400 bit per second modems used by the Federal Government over analog transmission channels other than those derived from high-frequency radio facilities.

(b) The standard terminology for use in requirements documents, including solicitations, is:

CODING AND MODULATION—2400 BIT/SEC (APR 84 FIRMR)

All nondiversity 2400 bit per second modems offered as a result of this requirement for use with 4kHz channels derived from either switched networks or dedicated lines shall comply with FED-STD 1005.

(End of requirement statement)

§ 201-8.112-5 FED-STD 1006, Coding and Modulation Requirements for Duplex 4800 Bit/Second Modems.

(a) FED-STD 1006 requires that all Federal departments and agencies shall comply with the standard in the design and acquisition of telecommunication systems and equipment having a requirement of 4800 bit per second modems used with nominal 4kHz analog channels.

(b) The standard terminology for use in requirements documents, including solicitations, is:

CODING AND MODULATION—4800 BIT/SEC (APR 84 FIRMR)

All 4800 bit per second modems (and equipment containing 4800 bit per second modems) offered as a result of this requirement for use with nominal 4kHz analog channels shall comply with FED-STD 1006.

(End of requirement statement)

§ 201-8.112-6 FED-STD 1007, Coding and Modulation Requirements for Duplex 9600 Bit/Second Modems.

(a) FED-STD 1007 establishes coding and modulation requirements for duplex 9600 bit per second modems used by the Federal Government over four-wire nominal 4kHz analog transmission channels. Typically, these channels are derived from frequency division multiplex equipment associated with microwave, coaxial cable, and satellite transmission systems.

(b) The standard terminology for use in requirements documents, including solicitations, is:

CODING AND MODULATION - DUPLEX 9600 BIT/SEC (APR 84 FIRMR)

All duplex 9600 bit per second modems offered as a result of this requirement for use with nominal 4kHz analog transmission channels shall comply with FED-STD 1007.

(End of requirement statement)

§ 201-8.112-7 FED-STD 1008, Coding and Modulation Requirements for Duplex 600 and 1200 Bit/Second Modems.

(a) FED-STD 1008 establishes coding and modulation requirements for duplex 600 bit per second and/or 1200 bit per second modems for use over 4kHz analog transmission channels terminated by "two-wire" circuits. Federal departments and agencies shall comply with the requirements of this standard in the design and acquisition of such modems except when they are to be acoustically coupled to telephone instruments.

(b) The standard terminology for use in requirements documents, including solicitations, is:

CODING AND MODULATION - DUPLEX 600/1200 BIT/SEC (APR 84 FIRMR)

All two-wire duplex 600 bit per second and/or 1200 bit per second modems (except those to be acoustically coupled to telephone instruments) offered as a result of this requirement for use with nominal 4kHz analog channels shall comply with FED-STD 1008.

(End of requirement statement)

§ 201-8.112-8 FED-STD 1015, Telecommunications: Analog to Digital Conversion of Voice by 2400 Bit/Second Linear Predictive Coding.

(a) FED-STD 1015 specifies requirements relating to the conversion of analog voice to 2400 bit/second digitized voice by Linear Predictive Coding (LPC-10) and reconversion back to analog voice. It applies to all synchronous (not packetized) 2400 bit/second digitized voice telecommunications equipment procured or leased.

(b) The standard terminology for use in requirements documents, including solicitations, is:

2400 BIT/SECOND DIGITIZED VOICE TELECOMMUNICATIONS EQUIPMENT (DEC 85 FIRMR)

All synchronous (not packetized) 2400 bit/second digitized voice telecommunications equipment offered as a result of this requirement shall be capable of Linear Predictive Coding (LPC-10) operation in conformance with FED-STD 1015.

(End of requirement statement)

[FIRMR Amdt. 6, 51 FR 8322, Mar. 11, 1986]

§§ 201-8.112-9—201-8.112-10 [Reserved]

§ 201-8.112-11 FED-STD 1020A, Electrical Characteristics of Balanced Voltage Digital Interface Circuits.

(a) FED-STD 1020A specifies the electrical characteristics of balanced voltage digital interface circuits employed for the interchange of serial binary information conveyed at the DC baseband level at signaling rates of up to 10 megabits per second. It adopts, with the additional requirements stated therein, Electrical Industries Association (EIA) Standard RS-422-A. Federal agencies shall use this standard in the design and/or acquisition of equipment requiring these interface circuits. Note that some digital interfaces; e.g., EIA RS-232C or CCITT V.35, do not require the use of these circuits. Therefore, FED-STD 1020A is required only to the extent that user applications or specific digital interfaces dictate the use of these circuits.

(b) The standard terminology for use in requirements documents, including solicitations, is:

DIGITAL INTERFACE CIRCUITS—BALANCED VOLTAGE (APR 84 FIRMR)

All equipment using balanced voltage digital interface circuits that is offered as a result of this requirement shall comply with the electrical characteristics addressed by FED STD 1020A.

(End of requirement statement)

§ 201-8.112-12 FED-STD 1026, Telecommunications: Interoperability and Security Requirements for use of the Data Encryption Standard in the Physical Layer of Data Communication.

(a) The purpose of FED-STD 1026 is to facilitate the interoperation of Government data communication facilities systems and data that require cryptographic protection using the Data Encryptions Standard (DES) algorithm.

(b) FED-STD 1026 specifies interoperability and security related requirements using encryption at the Physical Layer of the International Standards Organization's (ISO) Open Systems Interconnection (OSI) Reference Model (International Standard 7498) in telecommunications systems conveying Automatic Data Processing (ADP) and/or narrative text information. The algorithm used for encryption is the Data Encryptions Standard (DES), FIPS PUB 46, Data Encryptions Standard. Requirements contained in this standard relate to the interoperation of Physical Layer Data Encryptions Equipment, or their interoperation with associated Data Terminal Equipment of Data Circuit-terminating Equipment.

(c) Additional security requirements, not directly related to interoperatibility, are contained in FED-STD 1027, Telecommunications: General Security Requirements for Equipment Using the Data Encryptions Standard (DES). The DES algorithm is specified in FIPS PUB 46.

(d) In Physical Layer encryption, all of the Physical Layer Service Data Unit is encrypted except the START and STOP bits during asynchronous operation, and the parity bits when parity is restored.

(e) The standard terminology for use in requirements documents, including solicitations, is:

CRYPTOGRAPHIC COMPONENTS, EQUIPMENT SYSTEMS, AND SERVICES (DEC 85 FIRMR)

All applicable DES cryptographic components, equipment or services used for encryption of ADP and/or narrative text information in the Physical Layer data communications using the Data Encryptions Standard (DES) algorithm must comply with the requirements specified in FED STD 1026. The Physical Layer is further defined in International Standard 7498, Open Systems Interconnection Reference Model.

(End of requirement statement)

[FIRMR Amdt. 6, 51 FR 8322, Mar. 11, 1986, 51 FR 10392, Mar. 26, 1986]

§ 201-8.112-13 FED-STD 1027, General Security Requirements for Equipment Using the Data Encryption Standard.

(a) FED-STD 1027 specifies the security requirements in telecommunications equipment and systems used by the U.S. Government when unclassified information is required to be encrypted for transmission. FED-STD 1027 implements the Data Encryption Standard (DES) algorithm described in FIPS PUB 46. Since FIPS PUB 46 is incorporated, by definition, into FED-STD 1027, a citation for FIPS PUB 46 is not required in the requirements document when FED-STD 1027 is specified.

(b) The heads of departments and agencies are responsible for determining when unclassified information must be encrypted during transmission.

(c) The standard terminology for use in requirements documents, including solicitations, is:

CRYPTOGRAPHIC COMPONENTS, EQUIPMENT, SYSTEMS, AND SERVICES (APR 84 FIRMR)

If a requirement for the encryption protection of unclassified digital information in the telecommunications environment is specified elsewhere in this requirements document, all cryptographic components, equipment, systems, and services offered to meet that requirement must comply with FED-STD 1027 and be endorsed as so complying by the National Security Agency prior to being proposed. These items include stand alone DES cryptographic equipment as well as any Data Terminal Equipment

and Data Circuit-Terminating Equipment utilizing the DES algorithm (described in FIPS PUB 46) for digital encryption. Arrangements for endorsement may be made with the Communications Protection Special Projects Office (S23), National Security Agency, 9800 Savage Road, Fort George G. Meade, MD 20755.

(End of requirement statement)

(d) Listings of cryptographic components, equipment, and systems that have been previously endorsed as complying with FED-STD 1027 are available from the Executive Secretary, National Communications Security Committee, Operations Building 3, 9800 Savage Road, Fort George G. Meade, MD 20755.

(e) The following documents provide additional information in this regard: NCSC-10, National Policy for Protection of U.S. National Security-Related Information Transmitted Over Satellite Circuits; NCSC-11, National Policy for Protection of Telecommunication Systems Handling Unclassified National Security-Related Information; and Presidential Directive 24, "Telecommunications Protection Policy".

§ 201-8.112-14 FED-STD 1028, Telecommunications: Interoperability and Security Requirements for Use of the Data Encryption Standard with CCITT Group 3 Facsimile Equipment

(a) FED-STD 1028 specifies interoperability and security related requirements for use of encryption with the International Telegraph and Telephone Consultative Committee, (CCITT) Group 3-type facsimile equipment conveying Automatic Data Processing (ADP) and/or narrative text information. The algorithm used for encryption is the Data Encryption Standard (DES), FIPS PUB 46, Data Encryption Standard. Requirements contained in this standard relate to the interoperation of DES Equipment, or their interoperation with associated CCITT Group 3 facsimile equipment. Group 3 facsimile apparatus are described in Electronic Industries Association Standard RS-465.

(b) Additional security requirements, not directly related to interoperability, are contained in FED-STD 1027, Telecommunications: General Security Requirements for Equipment Using the Data Encryption Standard (DES). The DES algorithm is specified in FIPS PUB 46.

(c) Additional requirements for interoperability and security at the physical layer are contained in FED-STD 1026, Telecommunications: Interoperability and Security Requirements for Use of the Data Encryption Standard in the Physical Layer of Data Communications.

(d) The standard terminology for use in requirements documents, including solicitations, is:

CCITT Group 3 Facsimile Equipment, Systems, and Services (DEC 85 FIRMR)

All applicable cryptographic components, equipment or services used for the encryption of documents transmitted by CCITT Group 3-type facsimile equipment using the Data Encryption Standard (DES) algorithm must comply with the requirements specified in FED-STD 1028.

(End of requirement statement)

[FIRMR Amdt. 6, 51 FR 8322, Mar. 11, 1986]

§ 201-8.112-15 [Reserved]

§ 201-8.112-16 FED-STD 1030A, Electrical Characteristics of Unbalanced Voltage Digital Interface Circuits.

(a) FED-STD 1030A specifies the electrical characteristics of unbalanced voltage digital interface circuits employed for the interchange of serial binary information conveyed at the DC baseband level at signaling rates of up to 100 kilobits per second. It adopts, with the additional requirements stated therein, Electronic Industries Association (EIA) Standard RS-423-A. Federal agencies shall use this standard in the design and/or acquisition of equipment requiring these interface circuits. Note that some digital interfaces; e.g., EIA RS-232-C or CCITT V.35, do not require the use of these circuits. Therefore, FED-STD 1030A is required only to the extent that user applications or specific digital interfaces dictate the use of these circuits.

(b) The standard terminology for use in requirements documents, including solicitations, is:

DIGITAL INTERFACE CIRCUITS—UNBALANCED VOLTAGE (APR 84 FIRMR)

All equipment using unbalanced voltage digital interface circuits that is offered as a result of this requirement shall comply with the electrical characteristics addressed by FED-STD 1030A.

(End of requirement statement)

[FIRMR Amdt. 6, 51 FR 8323, Mar. 11, 1986]

§§ 201-8.112-17—201-8.112-24 [Reserved]

§ 201-8.112-25 FED-STD 1061, Group 2 Facsimile Apparatus for Document Transmission.

(a) FED-STD 1061 establishes the machine specifications for Group 2 facsimile apparatus used on voice band analog circuits. This group exploits bandwidth compression techniques to achieve a transmission time of approximately 3 minutes for a 216 mm by 297 mm size document with a nominal resolution of four (4) lines per millimeter.

(b) The standard terminology for use in requirements documents, including solicitations, is:

FACSIMILE APPARATUS (GROUP 2)—VOICE BAND ANALOG CIRCUITS (APR 84 FIRMR)

All Group 2 facsimile apparatus offered as a result of this requirement for use with voice band analog circuits shall comply with FED-STD 1061.

(End of requirement statement)

[FIRMR Amdt. 6, 51 FR 8323, Mar. 11, 1986]

§ 201-8.112-26 FED-STD 1062, Group 3 Facsimile Apparatus for Document Transmission.

(a) FED-STD 1062 establishes machine specifications for Group 3 facsimile apparatus, as defined in the FED-STD, for use over voice band analog circuits. Federal departments and agencies shall comply with this standard in the design, development, and procurement of facsimile terminals/systems with the following exception: Military Standard 188-161 applies to tactical users within the Department of Defense.

(b) FED-STD 1062 does not apply to the transmission of mixed mode information such as coded character data and image data. Technical specifications of the standard are contained in Electronic Industries Association Standard RS-465.

(c) The standard terminology for use in requirements documents, including solicitations, is:

ACQUISITION, DESIGN OR DEVELOPMENT OF GROUP 3 FACSIMILE APPARATUS (APR 84 FIRMR)

All Group 3 facsimile apparatus designed, developed, or offered for use over voice band analog circuits shall comply with FED-STD 1062.

(End of requirement statement)

[FIRMR Amdt. 6, 51 FR 8323, Mar. 11, 1986]

§ 201-8.112-27 FED-STD 1063, Telecommunications: Procedures for Document Facsimile Transmission.

(a) FED-STD 1063 specifies procedures for transmitting facsimile documents over voice band analog circuits. Federal departments and agencies shall comply with this standard in the design, development, and procurement of facsimile terminals/systems with the following exception: Military Standard 188-161 applies to tactical users within the Department of Defense.

(b) FED-STD 1063 does not apply to the transmission of mixed mode information such as coded character data and image data. Technical specifications of the standard are contained in Electronic Industries Association Standard RS-466. Group 1, 2, and 3 facsimile apparatus are described in Electronic Industries Association Standard RS-465.

(c) The standard terminology for use in requirements documents, including solicitations, is:

ACQUISITION, DESIGN OR DEVELOPMENT OF GROUP 1, 2, AND 3 FACSIMILE APPARATUS (APR 84 FIRMR)

All group 1, 2, and 3 facsimile apparatus designed, developed, or offered for use over voice band analog circuits shall comply with FED-STD 1063.

(End of requirement statement)

[FIRMR Amdt. 6, 51 FR 8323, Mar. 11, 1986]

§ 201-8.113 Joint FIPS/FED-STD requirement statements.

This section provides standard terminology for use in requirements documents including solicitations for Joint Federal Information Processing Standards and Federal Telecommunication Standards which have been implemented by GSA.

§ 201-8.113-1 FIPS PUB 37/FED-STD 1001, Synchronous High Speed Data Signaling Rates Between Data Terminal Equipment and Data Communication Equipment.

(a) FIPS PUB 37/FED-STD 1001 establishes signaling rate requirements for data terminal and data processing equipment which is (1) employed with synchronous data communication equipment and (2) designed to operate on binary encoded information over wideband communication channels having greater bandwidth than the normal 4kHz bandwidth commonly used in analog voice transmission. This standard adopts the technical specifications contained in American National Standard X3.36-1975, same title.

(b) The standard terminology for use in requirements documents, including solicitations, is:

SYNCHRONOUS HIGH SPEED DATA SIGNALING RATES (APR 84 FIRMR)

All applicable equipment or services resulting from this requirement that are employed with synchronous data communication equipment designed to operate on binary coded information over wideband communication channels must comply with FIPS PUB 37/FED-STD 1001.

(End of requirement statement)

§ 201-8.113-2 FIPS PUB 16-1/FED-STD 1010, Bit Sequencing of the Code for Information Interchange in Serial-By-Bit Data Transmission.

(a) FIPS PUB 16-1/FED-STD 1010 specifies the method of transmitting the Standard Code for Information Interchange, FIPS PUB 1-2, in serial-by-bit, serial-by-character data transmission. FIPS PUB 16-1 reflects changes necessary to accommodate FIPS PUB 1-2 when operating in either 7- or 8-bit coded environments. The standard is applicable to the transmission of the standard code in a serial bit stream form at the interface between data terminal and data communication equipment. Data terminal equipment transmitting an approved Federal subset or superset of FIPS PUB 1-2 must comply with FIPS PUB 16-1/FED-STD 1010. This standard adopts the technical specifications contained in American National Standard X3.15-1976, same subject.

(b) The standard terminology for use in requirements documents, including solicitations, is:

BIT SEQUENCING—SERIAL DATA TRANSMISSION (DEC 85 FIRMR)

All applicable equipment or services that may result from this requirement, transmitting in a serial-by-bit, serial by-character mode, must be capable of bit sequencing as prescribed in FIPS PUB 16-1/FED-STD 1010 for the transmission of the Standard Code for Information Interchange, FIPS PUB 1-2, at the interface between data terminal equipment and data communication equipment.

(End of requirement statement)

[FIRMR Amdt. 6, 51 FR 8323, Mar. 11, 1986]

§ 201-8.113-3 FIPS PUB 17-1/FED-STD 1011, Character Structure and Character Parity Sense for Serial-By-Bit Data Communication in the Code for Information Interchange.

(a) FIPS PUB 17-1/FED-STD 1011 specifies the method of transmitting the Standard Code for Information Interchange, FIPS PUB 1-2, in serial-by-bit, serial-by-character data transmission. FIPS PUB 17-1 reflects changes necessary to accommodate revisions prescribed in FIPS PUB 1-2 when operating in either 7- or 8-bit coded environments. The standard is applicable at the interface between data terminal and data communication equipment. Data terminal equipment transmitting an approved Federal subset or superset of FIPS PUB 1-2 must comply with FIPS PUB 17-1/FED STD 1011. This standard adopts the technical specifications contained in American National Standard X3.16-1976, same subject.

(b) The standard terminology for use in requirements documents, including solicitations, is:

CHARACTER STRUCTURE/PARITY—SERIAL DATA TRANSMISSION (DEC 85 FIRMR)

All applicable equipment that may result from this requirement, transmitting in a serial-by-bit, serial-by-character synchronous or asynchronous mode, must be capable of transmitting the character structure and sense of character parity prescribed in FIPS PUB 17-1/FED-STD 1011 for the transmission of the Standard Code for Information Interchange, FIPS PUB 1-2, at the interface between data terminal equipment and data communication equipment.

(End of requirement statement)

(FIRMR Amdt. 6, 51 FR 8324, Mar. 11, 1986)

§ 201-8.113-4 FIPS PUB 18-1/FED-STD 1012, Character Structure and Character Parity Sense for Parallel-By-Bit Data Communication in the Code for Information Interchange.

(a) FIPS PUB 18-1/FED-STD 1012 specifies the channel assignment for transmitting the Standard Code for Information Interchange, FIPS PUB 1-2, in parallel-by-bit, serial-by-character data transmission. FIPS PUB 18-1 reflects changes necessary to accommodate revisions prescribed by FIPS PUB 1-2 when operating in either 7- or 8-bit coded environments. The standard is applicable at the interface between data terminal equipment and data communication equipment. Data terminal equipment transmitting an approved Federal subset or superset of FIPS PUB 1-2 must comply with FIPS PUB 18-1/FED-STD 1012. This Standard adopts the technical specifications contained in American National Standard X3.25-1976, same subject.

(b) The standard terminology for use in requirements documents, including solicitations, is:

CHARACTER STRUCTURE/PARITY—PARALLEL DATA TRANSMISSION (DEC 85 FIRMR)

All applicable equipment or services that may result from this requirement, transmitting in a parallel-by-bit, serial-by-character mode, must be capable of transmitting the character structure and sense of character parity prescribed in FIPS PUB 18-1/FED-STD 1012, when transmitting the Standard Code for Information Interchange, FIPS PUB 1-2, or an approved Federal subset at the interface between data terminal equipment and data communication equipment.

(End of requirement statement)

(FIRMR Amdt. 6, 51 FR 8324, Mar. 11, 1986)

§ 201-8.113-5 FIPS PUB 22-1/FED-STD 1013, Synchronous Signaling Rates Between Data Terminal and Data Communication Equipment.

(a) FIPS PUB 22-1/FED-STD 1013 specifies the rates of transferring binary encoded information in synchronous serial or parallel form between data processing terminal and data communication equipment that employ voice band communication facilities. FIPS PUB 22-1 supersedes FIPS PUB 22 and reflects changes made to the corresponding American National Standard X3.1-1976.

(b) The standard terminology for use in requirements documents, including solicitations, is:

SYNCHRONOUS VOICE BAND DATA SIGNALING RATES (APR 84 FIRMR)

All applicable equipment or services resulting from this requirement that are employed in conjunction with synchronous data communication equipment designed to operate on binary encoded information in either serial or parallel fashion over voice grade communication channels of nominal 4kHz bandwidth must comply with FIPS PUB 22-1/FED-STD 1013.

(End of requirement statement)

§ 201-8.113-6 FIPS PUB 71/FED-STD 1003A, Advanced Data Communication Control Procedures (ADCCP).

(a) FIPS PUB 71/FED-STD 1003A establishes data link control procedures for systems, equipment, and services using synchronous, bit-oriented data communications.

(b) The standard terminology for use in requirements documents, including solicitations, is:

DATA LINK CONTROL—SYNCHRONOUS BIT ORIENTED DATA (APR 84 FIRMR)

All systems, equipment, and services using synchronous, bit-oriented data communications offered as a result of this requirement shall implement the classes of procedures specified in FIPS PUB 71/FED-STD 1003A.

(END OF REQUIREMENT STATEMENT)

§ 201-8.113-7 FIPS PUB 100/FED-STD 1041, Interface Between Data Terminal Equipment (DTE) and Data Circuit-Terminating Equipment (DCE) for Operation with Packet-Switched Data Communication Networks.

(a) FIPS PUB 100/FED-STD 1041 adopts a subset of the International Telegraph and Telephone Consultative Committee (CCITT) Recommendation X.25 for operating in the packet mode on public data networks. The technical specifications of this standard shall be employed in designing, developing, and acquiring Federal ADP equipment, telecommunications equipment, or services using public packet-switched data communication networks whenever an interface based on CCITT Recommendation X.25 is required.

(b) NBS has established a testing service to evaluate equipment and services for conformance to this joint standard. This service will assist Federal agencies who wish to follow the options specified in the standard and limit acquisition to equipment that has been verified for conformance to the joint standard. Further information may be obtained from the Director, Institute for Computer Sciences and Technology, National Bureau of Standards, Washington, DC 20234, Attention: X.25 Verification.

(c) The standard terminology to be used in requirements documents, including solicitations, is:

APPLICABILITY OF FIPS PUB 100/FED-STD 1041 (PUBLIC PACKET-SWITCHED DATA COMMUNICATIONS NETWORK INTERFACE) (MAY 84 FIRMR)

All applicable ADP and telecommunications equipment or services using public packet switched data communication networks which require an interface based on CCITT Recommendation X.25 must comply with the requirements specified in FIPS PUB 100/FED-STD 1041.

(End of requirement statement)

[FIRMR Amdt. 4, 50 FR 27149, July 1, 1985]

Subpart 201-8.2—Federal Records Management Standards

NOTE: See Federal Property Management Regulations (FPMR) Part 101-11.[1]

PARTS 201-9—201-10—[RESERVED]

PART 201-11—COMPETITION

Sec.

201-11.000 Scope of part.
201-11.001 The full and open competition objective.
201-11.001-1 Application of FAR provisions.
201-11.002 Other than full and open competition.
201-11.002-1 Use and documentation of specific make and model specifications.
201-11.002-2 Follow-on acquisitions under other than full and open competition.
201-11.003 Agency responsibilities.

AUTHORITY: Sec. 205(c), 63 Stat. 390; 40 U.S.C. 486(c).

SOURCE: FIRMR Amdt. 4, 50 FR 27149, July 1, 1985, unless otherwise noted.

§ 201-11.000 Scope of part.

This part prescribes policies for the application of competition as a means to attain economy and efficiency in the satisfying of ADP and telecommunication needs of the Government.

[FIRMR Amdt. 1, 50 FR 4359, Jan. 30, 1985]

§ 201-11.001 The full and open competition objective.

(a) The basic procurement objective in satisfying ADP and telecommunications requirements is to obtain full and open competition through the use of competitive procedures (including the GSA information resources multiple award schedule program) which permit all responsible sources (see FAR Subpart 9.1) that can satisfy the needs of the Government to submit offers. The contract action shall be made at the lowest overall cost to the Government, price and other factors considered, over the system/item life

[1] EDITORIAL NOTE: 41 CFR Part 101-11 was recodified and reissued in Parts 201-22 and 201-45 at 50 FR 26908, June 28, 1985.

with due regard to the nature of the supplies or services to be acquired.

(b) This requires an acquisition strategy, suitable to the circumstances, in which the statement of the user's requirement is set forth in the least restrictive terms possible without compromising economy or efficiency. It shall be designed to elicit favorable offers from all responsible sources capable of satisfying the Government's needs.

(c) Use of GSA information resources multiple award schedules (issued under the procedures established by the Administrator of General Services consistent with 41 U.S.C. 259(b)(3)(A)) is a competitive procedure if ordering offices follow applicable FIRMR procedures (see particularly §§ 201-32.206, 201-32.303, and 201-40.008).

§ 201-11.001-1 Application of FAR provisions.

FAR Part 6 prescribes general policies and procedures to promote competition. They provide for full and open competition, full and open competition after exclusion of sources, and other than full and open competition. Those general provisions are applicable to the acquisition of ADP and telecommunications resources, in addition to the provisions set forth in this Part 201-11. (Note.—Subpart 201-1.6 sets forth the relationship between FAR and FIRMR contracting rules.)

§ 201-11.002 Other than full and open competition.

(a) *General.* When an agency determines that full and open competition cannot be obtained in satisfying an ADP or telecommunications requirement, the procurement action must be justified and approved in accordance with Part 201-23, Part 201-39, and FAR Part 6. The agency is required to document its files with a justification for the contemplated procurement action (see FAR 6.303). Technical and requirements personnel must provide certified data supporting their recommendations for these procurement actions. Lack of advance planning or concerns related to the amount of funds available cannot be used as the basis for this justification.

(b) *Only one responsible source certification requirements.* When an agency determines (1) that only one responsible source can meet its requirement after following the management, planning, and market research activities referred to in § 201-11.003 and (2) that no other type of supplies or services will satisfy the agency's needs, technical and requirements personnel are responsible for providing, and certifying as accurate and complete, the necessary data to support the recommendation for this requirement (see FAR 6.303-1(b)).

§ 201-11.002-1 Use and documentation of specific make and model specifications.

(a) A specific make and model specification shall be used only when no other type of specification can satisfy the needs of the Government.

(b) The use of a specific make and model specification is considered to be other than full and open competition and must be certified, justified, and approved in accordance with FAR 6.303 and 6.304, notwithstanding the existence of more than one responsible source.

(1) The justification in all cases must address why no other type of supplies or services will satisfy the agency's needs and the practical factors which preclude the development of a less restrictive specification.

(2) The provisions of this paragraph (b) of § 201-11.002-1 shall not apply when (i) an order is placed against a GSA information resources multiple award schedule contract and (ii) the technical and requirements personnel describe the requirements with a specification type of higher precedence use than a specific make and model specification (for example, see § 201-30.013), notwithstanding the fact that when the order is placed, it cites a specific make and model.

§ 201-11.002-2 Follow-on acquisitions under other than full and open competition.

The special justification provisions of FAR 6.302-1(a)(2)(ii) regarding follow-on contracts shall not be used to perpetuate any contract for obsolete automatic data processing equip-

ment (ADPE), or for ADPE used primarily to execute software that requires general redesign to satisfy mission needs in an economic and efficient manner. For these purposes, obsolete ADPE means ADPE for which an analysis under § 201-30.009-2 shows that cost savings are obtainable with newer ADPE technology.

[FIRMR Amdt. 7, 51 FR 9958, Mar. 24, 1986]

§ 201-11.003 Agency responsibilities.

(a) Full and open competition is a basic procurement objective of the Government. Full and open competition among offerors who are capable of meeting the user's needs will ensure that the Government's needs are satisfied at the lowest overall cost, price and other factors considered, over the system/item life. It is essential that proper management actions, including planning and market research activities, be accomplished before the contract actions become imminent (see Parts 201-16, 201-20, 201-21, 201-23, 201-24, 201-30, and 201-38).

(b) Agency information resources managers and contracting officers both have the responsibility for ensuring that this basic procurement objective is met. This responsibility extends to fostering competitive conditions for subsequent procurements.

(c) Agencies must consider their systems life and contract expiration dates when planning for future information resources requirements activities. Agency plans for follow-on procurements should allow sufficient time for completion of the acquisition process, including any required conversion of data files and programs. A competition for the follow-on period shall be started in sufficient time to ensure completion before the expiration of the existing contract.

PARTS 201-12—201-15 [RESERVED]

SUBCHAPTER C—ADMINISTRATION OF INFORMATION RESOURCES ACTIVITIES

PART 201-16—PLANNING AND BUDGETING FOR INFORMATION RESOURCES ACTIVITIES

Sec.
201-16.000 Scope of part. [Reserved]
201-16.001 Planning to meet the full and open competition objective.
201-16.002 Planning requirements.

AUTHORITY: Sec. 205(c), 63 Stat. 390; 40 U.S.C. 486(c).

§ 201-16.000 Scope of part. [Reserved]

§ 201-16.001 Planning to meet the full and open competition objective.

(a) The head of the agency shall use advance procurement planning and market research directed to the achievement of the full and open competition objective. This planning is a joint responsibility of the agency's requirements and procuring activities. It is essential to the success of this objective that the manager who establishes the needs, the manager who prepares the requirement specifications, and the manager who contracts for satisfying the requirement all coordinate their efforts in establishing a realistic acquisition plan.

(b) Agency performance of this responsibility will serve as a factor in GSA's determinations for granting specific and blanket delegations of procurement authority to agencies.

[FIRMR Amdt. 4, 50 FR 27150, July 1, 1985]

§ 201-16.002 Planning requirements.

(a) Agencies are required to prepare and submit annual agency-wide ADP plans in accordance with OMB Circular A-11. A copy of this plan shall be provided to GSA (KMA) concurrently with each submission to OMB. In addition to the plan, the following supplemental information shall be submitted to GSA (KMA):

(1) Trends in data processing workloads that will or may saturate existing system capabilities prior to expiration of the full established initial user's system/item life;

(2) Opportunities to take advantage of cost effective enhancements brought about by new ADPE technology, software improvements, and changes in the marketplace;

(3) Actions planned regarding system redesign to improve the efficiency and effectiveness of application software, the conversion of software to higher level languages, and the audit and update of documentation for consistency with the guidelines issued by the National Bureau of Standards; and

(4) The proposed acquisition strategy with acquisition schedule for meeting projected ADP resource needs identified in the ADP plans submitted pursuant to OMB Circular A-11.

(b) GSA will use the information to estimate Government-wide requirements and to develop acquisition programs to assist agencies in meeting their information technology needs in an efficient and economic manner. The report required in this regulation has been cleared in accordance with FPMR 101-11.11 and assigned Interagency Report Control No. 0016-GSA-AN.

(c) The plan should be used by agencies to manage their sharing and reutilization programs. Planning short- and long-range procurement strategies is essential to avoid the continued use of costly, outmoded computers or other obstacles to more effective, efficient, and economical ADP.

(d) Agency planning requirements should be promulgated in the agency directives system and should communicate to agency managers the goals, managerial approach, policies, procedures, and responsibilities of specific officials or offices for information resources management. The plan should address installed as well as new systems, procedures for post-installation review of new systems, and procedures for the periodic audit of information systems. Agencies are encouraged to consider GSA programs that are available to assist agencies in applying information processing resources to agency needs.

[FIRMR Amdt. 1, 50 FR 4359, Jan. 30, 1985, as amended by FIRMR Amdt. 4, 50 FR 27150, July 1, 1985]

PARTS 201-17—201-19 [RESERVED]

PART 201-20—ADP MANAGEMENT PROGRAMS

Sec.

201-20.000 Scope of part.
201-20.001 Agency accountability. [Reserved]
201-20.002 Plans.
201-20.003 Requirements analysis.
201-20.004 Privacy and security.
201-20.005 Standards.
201-20.006 Sharing and reuse of ADP resources.
201-20.007 Conversion management and planning.
201-20.008 ADP records management functions.
201-20.009—201-20.010 [Reserved]
201-20.011 GSA service programs.
201-20.011-1 Agency liaison officer (ALO) program.
201-20.011-2 Federal Data Processing Centers (FDPC).
201-20.011-3 Federal Conversion Support Center (FCSC).
201-20.011-4 Federal Software Testing Center (FSTC).
201-20.011-5 Federal Computer Performance Evaluation and Simulation Center (FEDSIM).
201-20.011-6 Federal Software Exchange Program.
201-20.012 GSA procurement programs.
201-20.012-1 GSA requirements contracts.
201-20.012-2 GSA schedule contracts.
201-20.012-3 GSA regional support services contracts.
201-20.012-4 Office Technology Plus.
201-20.013 GSA reporting programs. [Reserved]
201-20.014 Assistance by GSA.

AUTHORITY: Sec. 205(c), 63 Stat. 390; 40 U.S.C. 486(c).

SOURCE: FIRMR Amdt. 1, 50 FR 4360, Jan. 30, 1985, unless otherwise noted.

§ 201-20.000 Scope of part.

This part prescribes policies and procedures regarding administrative programs for the planning, organizing, and controlling of resources for agency automatic data processing (ADP) requirements.

§ 201-20.001 Agency accountability. [Reserved]

§ 201-20.002 Plans.

Agency information resource management officials are responsible for monitoring requirements and for developing plans to meet future needs at the lowest overall cost. Plans should include initial acquisitions and augmentation or replacement of installed resources. (See also Part 201-16.)

§ 201-20.003 Requirements analysis.

The acquisition of an initial information resource capability or the augmentation or replacement of an existing capability shall be preceded by a comprehensive requirements analysis that is commensurate with the scope and complexity of the program objectives and missions needs. The operational and economic feasibility of all alternative solutions, including use of non-ADP resources, sharing, use of commercial ADP services, and reutilization of excess Government-owned or -leased equipment shall be considered. Policies and procedures for conducting requirements analyses are contained in § 201-30.007.

§ 201-20.004 Privacy and security.

Information resource managers shall establish safeguards necessary for the adequate protection of personal privacy and the security of ADP operations. (See also Parts 201-6 and 201-7.)

§ 201-20.005 Standards.

Federal information processing standards publications (FIPS PUBS) and Federal telecommunications standards (FED-STD) shall be implemented when applicable. Procedures for waiver or exception shall be complied with for each applicable mandatory FIPS PUB or FED-STD that is not implemented. (See also Part 201-8.)

§ 201-20.006 Sharing and reutilization.

Sharing installed ADPE and its operating system software shall be considered as a means of meeting the ADP requirements of the user (see Part 201-31 and OMB Circular A-121). Excess ADPE shall also be considered

a source of supply (see Part 201-33). Sharing Government-owned common use application software should be considered prior to development of new programs (see Part 201-31). Additional ADP capacity shall be acquired only if an agency has made reasonable efforts to determine that existing resources will not economically and efficiently meet the requirements. However, continued use of costly outmoded computers should be avoided.

(FIRMR Amdt. 4, 50 FR 27150, July 1, 1985)

§ 201-20.007 Conversion management and planning.

Agency ADP officials shall take those steps as may be feasible to minimize the risk and cost of conversion to replacement ADP systems and services to achieve economy and efficiency in meeting agency needs. (See also § 201-30.012.)

§ 201-20.008 ADP records management functions.

The regulations relating to the objectives, responsibilities, requirements, and implementation of the ADP records management function are located at FPMR § 101-11.210.

§§ 201-20.009—201-20.010 [Reserved]

§ 201-20.011 GSA service programs.

§ 201-20.011-1 Agency liaison officer (ALO) program.

GSA conducts an agency liaison officer program designed to establish an early and sustained relationship between GSA and agencies choosing to participate. Under an interagency agreement, a GSA liaison officer is assigned to further coordination and cooperation on information resource management and relationship matters. Agencies should contact General Services Administration (KTA), Washington, DC 20405 for further information, telephone (202) 566-0202, or FTS, 566-0202.

§ 201-20.011-2 Federal Data Processing Centers (FDPC).

Federal Data Processing Centers are Government managed data processing facilities providing computing services to Federal agencies on a cost-reimbursable basis. FDPCs are a special class of Government sharing sources for computing services that have been selected to meet the objectives of an effective GSA sharing program. (See also § 201-31.010.)

§ 201-20.011-3 Federal Conversion Support Center (FCSC).

The Federal Conversion Support Center is the primary resource for software conversion technology within the Federal government. It is operated by GSA to provide Federal agencies with specialized technical and contracting expertise, techniques, and tools to plan conversion studies and accomplish software conversions. It provides these services to Federal activities on a reimbursable basis. Agencies should contact the FCSC for further information, telephone (703) 756-6156 or FTS, 756-6156. The address: General Services Administration, Federal Conversion Support Center, 5203 Leesburg Pike, Suite 1100, Falls Church, VA 22041.

§ 201-20.011-4 Federal Software Testing Center (FSTC).

The Federal Software Testing Center validates compilers which are acquired by or are utilized in the performance of ADP services in the Federal Government. It is operated by GSA. (See also § 201-8.109.) Agencies should contact the FSTC for further information, telephone (703) 756-6153 or FTS, 756-6153. The address: General Services Administration, Federal Software Testing Center, 5203 Leesburg Pike, Suite 1100, Falls Church, VA 22041.

§ 201-20.011-5 Federal Computer Performance Evaluation and Simulation Center (FEDSIM).

The Federal Computer Performance Evaluation and Simulation Center provides technical assistance, support, and services on a reimbursable basis to Federal agencies for simulation, analysis, and performance evaluation of ADP systems. FEDSIM shall be considered as a source of supply for these services. It is operated by the Department of the Air Force under a delegation from GSA. (See also § 201-34.002-

[illegible] Agencies should contact the FEDSIM for further information, telephone (703) 274-8065.

§ 201-20.011-6 Federal Software Exchange Program.

The GSA Federal Software Exchange Program promotes and administers the sharing of Government developed computer programs and related documentation. Policies and procedures are at § 201-31.014.

§ 201-20.012 GSA procurement programs.

§ 201-20.012-1 GSA requirements contracts.

GSA makes selected ADP equipment and software offerings available on indefinite delivery type requirements contracts for acquisition by Federal agencies. Requirements contracts are required to be used for acquisitions that are within the scope and provisions of the particular contract. (See also § 201-32.207.)

§ 201-20.012-2 GSA schedule contracts.

(a) GSA makes numerous ADP, ADP related, and telecommunications equipment, services, and software offerings available on indefinite delivery type non-mandatory schedule contracts for acquisition by Federal agencies. Schedule contracts are designed to provide economic advantages to the Government (when compared to the open competitive commercial marketplace for comparable terms, conditions, and circumstances) at low administrative expense, primarily for lower value acquisitions. (See also § 201-32.206.)

(b) GSA makes teleprocessing services offerings available on indefinite delivery type schedule contracts for acquisition by Federal agencies. These schedule contracts (or GSA negotiated basic agreements) are required to be used for acquisitions that are within the scope of the Teleprocessing Services Program (TSP). (See also § 201-32.303.)

§ 201-20.012-3 GSA regional support services contracts.

GSA establishes and makes available for the non-mandatory use of other agencies a variety of regional ADP support services contracts. These contracts may include such areas as software development and programming, production of computeroutput microfilm (COM), and data entry. Agencies should consult with their GSA regional office to determine the scope and availability of these contracts. (See also § 201-32.304.)

§ 201-20.012-4 Office Technology Plus.

GSA is conducting a pilot contract program patterned after the retail computer store concept. These stores provide potential Federal agency users of end-user computers with counseling and training in connection with the acquisition of small computers and software packages. Agencies should contact the GSA Contracting Officer's Technical Representative for further information, telephone (202) 523-1493 or FTS, 523-1493).

§ 201-20.013 GSA reporting programs. [Reserved]

§ 201-20.014 Assistance by the GSA.

Assistance in any phase of the management or contracting process covered by the FIRMR may be obtained by contacting the General Services Administration (KMA), Washington, DC 20405, telephone (202) 566-1126 or FTS, 566-1126.

PART 201-21—TELECOMMUNICATIONS MANAGEMENT PROGRAMS

Sec.

201-21.000 Scope of part.
201-21.001 Agency management program.
201-21.002 Plans. [Reserved]
201-21.003 Management and control of telephone station equipment and features.
201-21.004 Management of communication networks. [Reserved]
201-21.005 Protection of personal privacy.
201-21.006 Major changes and new installations.
201-21.007 Routine changes and use of the FTS.
201-21.008—201-21.010 [Reserved]
201-21.011 GSA policies and objectives.
201-21.012 GSA acquisition programs.
201-21.012-1 Agency exclusive use telecommunication contracts.
201-21.013 GSA surveys.
201-21.014 The Federal Telecommunications System (FTS).

Sec.

201-21.015 GSA and tariffs.
201-21.015-1 Tariff interpretation.
201-21.015-2 Representation and negotiation.
201-21.016 GSA reporting programs. [Reserved]
201-21.017 GSA advice and assistance.

AUTHORITY: Sec. 205(c), 63 Stat. 390; 40 U.S.C. 486(c).

SOURCE: FIRMR Amdt. 1, 50 FR 4561, Jan. 30, 1985, unless otherwise noted.

§ 201-21.000 Scope of part.

This part prescribes policies and procedures regarding administrative programs for the planning, organizing, and controlling of resources for agency telecommunications requirements.

§ 201-21.001 Agency management program.

Each agency shall have a telecommunications management program, suited to its size, organization, and mission needs. The program shall implement the FIRMR, as applicable, and should extend to all levels of the agency's organization. A goal of every telecommunications management program should be to increase the employees' awareness of what they can do to reduce the high cost of telecommunications services.

§ 201-21.002 Plans. [Reserved]

§ 201-21.003 Management and control of telephone station equipment and features.

Telephone station equipment is a major element of telecommunication system costs and the most visible aspect of communications. This equipment should meet the needs of the agencies at the lowest overall cost to the Government. Telephone station equipment requirements shall be determined through a detailed analysis of the functions and operations of the applicable office. Economy, efficiency, and the ability of the telephone system to support the mission and goals of the organization shall be the primary considerations in the selection of telephone equipment and facilities. (See also §§ 201-38.011 and 201-38.011-1.)

§ 201-21.004 Management of communication networks. [Reserved]

§ 201-21.005 Protection of personal privacy.

The Privacy Act of 1974 (5 U.S.C. 552a) (the Act) establishes administrative procedures regarding the implemention and use of systems of records dealing with personal data. The Act also requires the provision of appropriate safeguards to protect against threats and hazards to systems of records. Regulations concerning privacy safeguards with regard to information resources are in Part 201-6 and § 201-40.003. (See also Part 201-7 regarding security.)

§ 201-21.006 Major changes and new installations.

Regulations regarding the management of major changes, relocations, replacements, or new installations are set forth in Part 201-39. Contracting aspects are set forth in Part 201-40.

§ 201-21.007 Routine changes and operations.

Regulations regarding routine changes and operation of the FTS are set forth in Part 201-41.

§§ 201-21.008—201-21.010 [Reserved]

§ 201-21.011 GSA policies and objectives.

(a) It is the policy of the Administrator of the General Services to—

(1) Provide communications services for executive agencies at the minimum total cost to the Government consistent with requirements for capacity, efficiency of operation, reliability of service, security, and programmed activities.

(2) Enter into agreements with other departments and agencies that would permit their operation of special purpose communications facilities.

(3) Establish only necessary reports, reporting procedures, and forms which will assist in providing for the Government an economical and efficient system for telecommunications management.

(4) Place maximum reliance on commercial sources for telecommunications services and facilities to meet the

needs of the Federal Government, and to acquire those services and facilities competitively on a full and open basis.

(b) The objectives of GSA's communications program are to—

(1) Provide a unified and coordinated Federal Telecommunications System (FTS) within the United States and its insular possessions designed to strengthen the national security posture and to provide economical and efficient telecommunications services for normal and emergency requirements to civil agencies and to fulfill the responsibilities of the Administrator of General Services in the development and implementation of the National Communications System.

(2) Establish policies, methods, and procedures and provide guidance for executive agencies to insure efficient and economical acquisition and utilization of telecommunication services and facilities.

(3) Provide to agencies information and guidance regarding the Government-wide telecommunications services managed and operated by GSA.

[FIRMR Amdt. 1, 50 FR 4361, Jan. 30, 1985, as amended by FIRMR Amdt. 4, 50 FR 27150, July 1, 1985]

§ 201-21.012 GSA acquisition programs.

GSA enters into general-purpose and special-purpose contracts for telecommunications services to executive agencies. GSA has a special statutory authority for entering into long-term contracts not to exceed 10 years (see Subpart 201-23.6). GSA will enter into appropriate contracts, upon request, when it has been determined that such contracts are advantageous to the Government in terms of economy, efficiency, and service.

§ 201-21.012-1 Agency exclusive use telecommunication contracts.

(a) Executive agencies are required to make written requests (see Part 201-39) to GSA to contract for general- or special-purpose services where requirements involve annual recurring charges or termination liabilities in excess of $50,000.

(b) Except for long-term contracts under the special statutory authority of GSA, executive agencies are authorized to enter into contracts for requirements which are not listed in paragraph (a) above. One conformed copy of each such contract shall be furnished to GSA (KETE).

§ 201-21.013 GSA surveys.

GSA, in coordination with the agency involved, will survey executive agency requirements for, and utilization of, telecommunication facilities and services and will advise and assist executive agencies in the implementation of improvements determined, with due regard to the program activities of the agency involved, to be advantageous to the Government in terms of economy, efficiency, or service.

§ 201-21.014 The Federal Telecommunications System (FTS).

(a) FTS, under the overall direction and management of GSA, is the primary and recommended system for use by Federal agencies in the conduct of Federal Government business. This program incorporates the features of centralized procurement and management of consolidated local service and network facilities.

(b) The FTS provides voice, record, data, and facsimile services over point-to-point and switched networks. The system includes the intercity voice network, the consolidated local telephone service, the Federal Secure Telephone Service, the Federal consolidated DATACOM service, and other networks which are for the exclusive or common use of Federal agencies or support Government business. (Note.—The transfer of the Advanced Record System (ARS) to the Veterans Administration was announced by FPMR Bulletin F-158.)

(c) The FTS program provides for the installation, maintenance, and system design of telecommunications security devices and systems to aid in the operation of Federal agencies' telecommunications facilities.

(d) The FTS includes a circuit management program that agencies shall use to obtain their intercity circuits.

§ 201-21.015 GSA and tariffs.

§ 201-21.015-1 Tariff interpretation.

GSA will provide, upon request, information on published tariff rates for communications services, including tariff interpretation and application. Inquiries should set forth in detail the nature of the communications service requested, proposed carrier rate treatment, if known, and agency comments pertinent thereto.

§ 201-21.015-2 Representation and negotiation.

GSA, in behalf of executive agencies, will conduct negotiations with communications carriers and suppliers, and where circumstances warrant, will institute formal or informal action, as required, before Federal and State regulatory bodies to contest the level, structure, or applicability of rates or service terms.

§ 201-21.016 GSA reporting programs. [Reserved]

§ 201-21.017 GSA advice and assistance.

GSA will provide assistance to executive agencies regarding telecommunications services and facilities, including communications program development, delineation of communications requirements, security, equipment and related services, methods and procedures for developing the capability for efficient telecommunications operations, prices, and telecommunication acquisitions. Except as otherwise provided, requests for advice and assistance concerning this part should be addressed to: General Services Administration (KMA), Washington, DC 20405 or GSA regional OIRM Telecommunications Branches.

PART 201-22—RECORDS MANAGEMENT PROGRAMS

Sec.

201-22.000 Scope and objectives of part.
201-22.001 General provisions.
201-22.001-1 Authority.
201-22.001-2 Applicability.
201-22.001-3 Responsibility for records management programs.
201-22.001-4 GSA responsibilities.
201-22.002 Agency responsibilities.
201-22.002-1 Authority.
201-22.002-2 Program content.
201-22.002-3 Creation of records.
201-22.002-4 Maintenance and use of records.
201-22.002-5 Liaison offices.
201-22.003 Evalution of agency programs.
201-22.003-1 Evaluation by GSA.
201-22.003-2 Agency internal evaluation.
201-22.003-3 Agency evaluation review and followup procedures.

AUTHORITY: Sec. 205(c), 63 Stat. 390; 40 U.S.C. 486(c).

SOURCE: FIRMR Amdt. 3, 50 FR 26912, June 28, 1985, unless otherwise noted.

§ 201-22.000 Scope and objectives of part.

(a) This part prescribes policies for the economical and effective management of Federal agencies' records to facilitate and support agency operations.

(b) This part addresses records creation, maintenance, and use, and is intended to help agencies achieve the information resources management goals of the Paperwork Reduction Act of 1980 to:

(1) Reduce the paperwork burden the Federal Government imposes on the public and on State and local governments;

(2) Reduce the cost to executive agencies of collecting, managing, and disseminating information;

(3) Maximize the usefulness of information collected by executive agencies;

(4) Make Federal information policies and practices uniform; and

(5) Ensure that the collection, maintenance, use, and dissemination of information by the Federal Government is consistent with applicable laws and executive orders relating to privacy, release of information, and security classification.

§ 201-22.001 General provisions.

§ 201-22.001-1 Authority.

The regulations in this part are pursuant to the authority contained in 44 U.S.C. 2904.

§ 201-22.001-2 Applicability.

The regulations in this part apply to all Federal agencies as defined in § 201-2.001.

§ 201-22.001-3 Responsibility for records management programs.

Public Law 98-497 (effective April 1, 1985) amends the records management statutes to divide records management responsibilities between the Administrator of General Services and the Archivist of the United States as head of the National Archives and Records Administration (NARA). Under the Act, the Administrator of General Services remains responsible for promoting economy and effectiveness in records management. The Archivist is responsible for ensuring proper records disposition and adequacy of documentation. GSA regulations are in this Part 201-22 and in Part 201-45. NARA regulations are in 36 CFR Chapter XII. Agency heads are responsible for records programs which must comply with regulations promulgated by both NARA and GSA.

§ 201-22.001-4 GSA responsibilities.

(a) Section 2904 of Title 44, United States Code, requires the Administrator of General Services to provide guidance and assistance to Federal agencies to ensure economical and effective records management by agencies. In providing such guidance and assistance, the Administrator shall have the responsibility to:

(1) Promote economy and efficiency in the selection and use of space, staff, equipment, and supplies for records management;

(2) Promulgate standards, procedures, and guidelines with respect to records management and records management studies;

(3) Conduct research with respect to the improvement of records management practices and programs;

(4) Collect and disseminate information on training programs, technological developments, and other activities relating to records management;

(5) Establish such interagency committees and boards as necessary to provide an exchange of information among Federal agencies with respect to records management;

(6) Direct the continuing attention of Federal agencies and the Congress on the need for adequate policies governing records management;

(7) Conduct records management studies and designate the heads of executive agencies to conduct records management studies with respect to establishing systems and techniques designed to save time and effort in records management;

(8) Conduct inspections or surveys of the records and the records management programs and practices within and between Federal agencies; and

(9) Report to the Congress and to the Director of the Office of Management and Budget each year, and at such time or times as the Administrator may deem desirable, on the results of the foregoing activities, including evaluations of responses by Federal agencies to any recommendations resulting from studies or inspections conducted by the Administrator, and to the extent practicable, estimates of costs to the Government resulting from the failure of agencies to implement such recommendations.

(b) Section 3513 of Title 44 of the United States Code (the Paperwork Reduction Act of 1980, Pub. L. 96-511) requires the Administrator of General Services to assist the Director of the Office of Management and Budget in selectively reviewing at least once every 3 years, the information management activities of each executive agency.

§ 201-22.002 Agency responsibilities.

§ 201-22.002-1 Authority.

Section 3102 of Title 44 of the United States Code requires the head of each Federal agency to establish and maintain an active, continuing program for the economical and efficient management of agency records.

§ 201-22.002-2 Program content.

Agency programs shall, among other things, provide for:

(a) Effective controls over the creation, maintenance, and use of all agency records;

(b) Cooperation with GSA in developing and applying standards, procedures, and techniques designed to improve the management of records and ensure the maintenance and security of records; and

(c) Compliance with the provisions of Title 44 of the United States Code and with the GSA and NARA regulations issued thereunder.

§ 201-22.002-3 Creation of records.

Adequate records management controls over the creation of agency records shall be instituted to ensure that agency functions are adequately and properly documented; that operational recordkeeping is kept to a minimum; and that the accumulation of unnecessary records is prevented. Effective techniques to be applied in this area include the application of systems for the control of correspondence, forms, directives, and reports; the minimizing of duplicate records, and the disposal without filing of transitory material that has no value for record purposes.

§ 201-22.002-4 Maintenance and use of records.

Provision shall be made for the continued analysis and improvement of such matters as mail handling and routing, record classification and indexing systems, the use of filing equipment and supplies, the reproduction and transportation of records, and work production standards relating thereto, to ensure that records are maintained economically and efficiently and in such a manner that their maximum usefulness is attained.

§ 201-22.002-5 Liaison offices.

An office or offices within each Federal agency shall be assigned specific responsibility for the development of the records management program. The office to which the major responsibility is assigned shall be reported to the General Services Administration (KL), Washington, DC 20405.

§ 201-22.003 Evaluation of agency programs.

§ 201-22.003-1 Evaluation by GSA.

Agency programs for controlling the creation, maintenance, and use of records will be inspected periodically by GSA (see also § 201-22.001-4(b)). Such inspections will be conducted in accordance with the provisions of 5 U.S.C. 552a. The objectives of these inspections are to:

(a) Determine agency compliance with the regulations set forth in this Part 201-22 and Part 201-45; and

(b) Evaluate the effectiveness of agency records management programs and practices.

§ 201-22.003-2 Agency internal evaluation.

Each agency should periodically inspect the records management programs within the agency, with the frequency and depth permitted by the agency's resources. These inspections should have objectives similar to those listed in § 201-22.003-1, and should be designed to complement the inspections performed by GSA. Guides for agency self-inspection (listed in Appendix C of the looseleaf edition of the FIRMR) are available from GSA (KL), Washington, DC 20405.

§ 201-22.003-3 Agency evaluation review and followup procedures.

(a) A Federal agency has a maximum of 60 calendar days after receipt of the draft evaluation report to comment on its factual content.

(b) A Federal agency shall submit an action plan to the Assistant Administrator for Information Resources Management, GSA, implementing the recommendations in an evaluation report not later than 90 calendar days after the date of transmittal of the final report to the agency. The agency action plan shall include:

(1) Specific action(s) the agency plans to take on each evaluation report recommendation. If an agency does not plan to implement a recommendation, the rationale for not acting shall be documented in the action plan; and

(2) Proposed month and year for completing each planned action.

(c) A Federal agency shall submit a progress report every 6 months to the Assistant Administrator for Information Resources Management, GSA, until the agency action plan is implemented. Interagency report control number 0153-GSA-AR has been assigned to this report in accordance with Subpart 201-45.6.

(d) GSA will:

(1) Analyze the adequacy of the agency action plan to implement recommendations contained in the evaluation report;

(2) Provide comments to the agency on the plan within 60 calendar days after the date of the transmittal of the plan; and

(3) Notify an agency when progress reports are no longer required.

PART 201-23—DELEGATIONS OF AUTHORITY

Sec.

201-23.000 Scope of part.
201-23.001 General. [Reserved]

Subpart 201-23.1—Contracting Authority for ADP Resources

201-23.100 Scope of subpart.
201-23.101 General. [Reserved]
201-23.102 Responsibility for conduct and accountability of acquisitions made under delegation of contracting authority from GSA.
201-23.103 Procurement and contracting authority.
201-23.104 Blanket regulatory delegations of procurement authority.
201-23.104-1 Automatic data processing equipment (ADPE).
201-23.104-2 Software.
201-23.104-3 Maintenance services.
201-23.104-4 Related ADPE supplies.
201-23.104-5 Commercial ADP services.
201-23.104-6 Commercial ADP support services.
201-23.104-7 ADP equipment systems.
201-23.105 Specific agency or agency component blanket delegation of procurement authority.
201-23.106 Specific acquisition delegation of procurement authority.
201-23.106-1 Agency procurement request (APR) submissions.
201-23.106-2 Alternate APR submission requirements.
201-23.107 GSA action on agency APR submissions.
201-23.108—201-23.110 [Reserved]
201-23.111 GSA contracting for specific APR requirements.
201-23.111-1 Requiring agency responsibilities.
201-23.111-2 GSA responsibilities.
201-23.112 Federal agency responsibility when procurement authority is delegated by GSA.
201-23.112-1 Agency responsibility.
201-23.112-2 GSA review of agency acquisition actions.

Subpart 201-23.2—Automatic Data Processing (ADP) Fund

201-23.200 [Reserved]
201-23.201 Use of the ADP Fund for purchase of ADP items.
201-23.202 Use of the ADP Fund for GSA-operated FDPCs.
201-23.203 Use of the ADP Fund for reuse of ADPE.

Subpart 201-23.3—Authority to Proceed with Acquisition of Telecommunication Resources—[Reserved]

Subpart 201-23.4—Use of Exchange/Sale Authority—[Reserved]

Subpart 201-23.5—Use of Multi-year Contracting Authority

201-23.500 [Reserved]
201-23.501 Use of multi-year contracting authority for small telecommunication systems.

AUTHORITY: Sec. 205(c), 63 Stat. 390; 40 U.S.C. 486(c).

SOURCE: FIRMR Amdt. 1, 50 FR 4363, Jan. 30, 1985, unless otherwise noted.

§ 201-23.000 Scope of part.

This part prescribes policies and procedures regarding the delegation of certain authorities by the Administrator of General Services to Federal agencies.

§ 201-23.001 General. [Reserved]

Subpart 201-23.1—Contracting Authority for ADP Resources

§ 201-23.100 Scope of subpart.

This subpart prescribes policies and procedures regarding the delegation of exclusive procurement authority for ADP resources under 40 U.S.C. 759 by the Administrator of General Services to Federal agencies.

§ 201-23.101 General. [Reserved]

§ 201-23.102 Responsibility for conduct and accountability of acquisitions made under delegation of contracting authority from GSA.

(a) The provisions of Pub. L. 96-511 (the Paperwork Reduction Act of 1980) direct each executive agency head to designate a senior official (of-

ficials in DOD) reporting to the agency head to be responsible for implementing the Act. This designated senior official is assigned responsibility for the conduct of and accountability for any acquisitions made under a delegation of authority under section 111 of the Federal Property and Administrative Services Act of 1949 (40 U.S.C. 759) (see 44 U.S.C. 3506(c)(4)).

(b) The designated senior official in each agency shall advise GSA in writing of the position title and organizational identity of those officials who have been authorized to submit agency procurement requests to GSA (see also §§ 201-23.106 and 201-23.112).

(c) The designated senior official shall keep the listings current. (A change of incumbent in an unchanged position and organizational assignment does not require notification.) Listings shall be submitted to GSA (KMA), Washington, DC 20405.

[FIRMR Amdt. 4, 50 FR 27151, July 1, 1985]

§ 201-23.103 Procurement and contracting authority.

§ 201-23.103 Procurement and contracting authority.

(a)(1) To allow for the orderly implementation of a program for the economical and efficient acquisition of ADP resources, agencies are authorized to acquire by contracting for these items—

(i) In accordance with the blanket delegation provisions of § 201-23.104,

(ii) When a specific agency delegation has been provided by GSA in accordance with the provisions of § 201-23.105, or

(iii) When a specific acquisition delegation has been provided by GSA in accordance with the provisions of §§ 201-23.106 and 201-23.107.

(2) Requirements shall not be fragmented in order to circumvent established delegation of procurement authority thresholds.

(b)(1) Agencies shall comply with the applicable provisions of the FIRMR before initiating procurement action on a requirement.

(2) Agencies shall accomplish procurement actions in accordance with applicable provisions of the FIRMR, including the provisions of Parts 201-11, 201-24, and 201-32.

(c)(1) Federal agencies are required to comply with the provisions of the Government-wide ADP sharing program (see Part 201-31) before contracting for commercial ADP services or support services. Each GSA region operates an ADP sharing exchange to provide information and referrals. Information is likewise available concerning (i) prison-made and products of the blind and other severely handicapped (see FAR Subparts 8.6 and 8.7) and (ii) GSA-sponsored Federal Data Processing Centers (FDPC) offering specific or specialized ADP services or support services (see also § 201-30.018).

(2) GSA enters into commercial ADP services and support services contract arrangements that are available for Federal agency use. The major nationwide program for certain commercial ADP services, including related support services, is the Teleprocessing Services Program (TSP). Section 201-32.303-2 describes the scope of the TSP, including requirements for agency use. GSA has also established ADP support services contracts that are available for use by agencies only within specified geographic regions and require the prior establishment of agency/GSA regional memoranda of understanding regarding use. Information concerning these contracts is available from GSA regional offices.

(d) Agency procurement request (APR) submissions to GSA are not required when an agency intends to exercise a renewal option within the system life of a previous authorization.

[FIRMR Amdt. 1, 50 FR 4363, Jan. 30, 1985, as amended by FIRMR Amdt. 4, 50 FR 27151, July 1, 1985]

§ 201-23.104 Blanket regulatory delegations of procurement authority.

§ 201-23.104-1 Automatic data processing equipment (ADPE).

Except as indicated in § 201-23.201 regarding potential use of the ADP fund, Part 201-31 regarding sharing, and Part 201-33 regarding the use of excess ADPE, agencies may procure ADPE without prior approval of GSA

when either paragraphs (a), (b), or (c) applies.

(a) The procurement is to be made by placing a purchase/delivery order against an applicable GSA requirements-type contract.

(b) The procurement is to be made by placing a purchase/delivery order against a GSA schedule contract provided that the following three conditions are met:

(1) The order is within the maximum order limitation (MOL) of the applicable contract;

(2) The total purchase price (even though the item(s) are to be rented or leased) of the item(s) covered by the order does not exceed $300,000;

(3) The requirements set forth in § 201-32.206 on the use of GSA schedule contracts are met.

(c) The procurement is to be made by solicitation procedures other than use of GSA requirements-type or schedule contracts and the value of the procurement (including evaluated optional features) does not exceed:

(1) Except as provided in paragraph (c)(2) below, $2,500,000 purchase price or basic monthly rental charges (including attendant maintenance costs) that do not exceed an annual rate of $1,000,000; or

(2) $250,000 purchase price or basic monthly rental charges (including attendant maintenance costs) that do not exceed an annual rate of $100,000 for:

(i) Requirements available from only one responsible source;

(ii) Requirements using specific make and model specifications; or

(iii) Requirements for outdated ADPE or requirements that include one or more components of outdated ADPE when the outdated component's purchase price or rental charges exceed the applicable threshold in this paragraph (c)(2).

[FIRMR Amdt. 4, 50 FR 27151, July 1, 1985, as amended by FIRMR Amdt. 7, 51 FR 9958, Mar. 24, 1986]

§ 201-23.104-2 Software.

Except for software available through the Federal Software Exchange Center as covered by § 201-31.014 and software provided with and not separately priced from the ADPE, agencies may procure commercially available software without prior approval of GSA when either (a), (b), or (c) applies.

(a) The procurement is to be made by placing a purchase/delivery order against an applicable GSA requirements-type contract.

(b) The procurement is to be made by placing a purchase/delivery order under the terms and conditions of an applicable GSA schedule contract (see § 201-32.206).

(c) The procurement (regardless of method or time period) is to be made by solicitation procedures other than use of GSA requirements-type or schedule contracts and the value of the procurement (including evaluated optional features) does not exceed:

(1) Except as provided in paragraph (c)(2) below, $1,000,000; or

(2) $100,000 for requirements available from only one responsible source.

[FIRMR Amdt. 4, 50 FR 27151, July 1, 1985]

§ 201-23.104-3 Maintenance services.

Agencies may procure maintenance services without prior approval of GSA when either paragraph (a) or (b) of this § 201-23.104-3 applies.

(a) The procurement is to be made by placing a purchase/delivery order under the terms and conditions of an applicable GSA schedule contract (see § 201-32.206).

(b) The procurement is to be made by solicitation procedures other than use of GSA requirements-type or schedule contracts and the monthly charges do not exceed:

(1) Except as provided in paragraph (b)(2) below: an annual rate of $1,000,000; or

(2) An annual rate of $100,000 for requirements available from only one responsible source.

[FIRMR Amdt. 4, 50 FR 27151, July 1, 1985]

§ 201-23.104-4 Related ADPE supplies.

Agencies may contract for related ADPE supplies without prior approval of GSA when specific purchase programs established by GSA have been considered and determined to be inapplicable (see § 201-32.208).

§ 201-23.104-5 Commercial ADP services.

(a) Agencies shall use GSA's Teleprocessing Services Program in accordance with the applicability provisions set forth in § 201-32.303-1. Agencies may procure commercial ADP services without prior approval of GSA when the monthly charges (including evaluated optional features) do not exceed:

(1) Except as provided in paragraph (a)(2) below, an annual rate of $2,000,000; or

(2) An annual rate of $200,000 for requirements available from only one responsible source or requirements using specific make and model specifications.

(b) Agencies shall comply with the requirements regarding the sharing or use of existing Federal ADP resources and the use of GSA sources of supply before initiating procurement action under authority of this § 201-23.104-5.

(c) When the value of the procurement exceeds the thresholds set forth in paragraph (a) of this section, including instances when a value previously estimated below the thresholds subsequently exceeds them, the agency shall submit an APR in accordance with § 201-23.106.

(d) Contract awards under the basic agreement shall be based on blanket or individual delegations of procurement authority. The resulting contract award amount and scope will redefine and limit the applicable authorization from that estimated in the agency procurement request submission or estimate, except as provided in this paragraph (d). The contract "Engineering Changes" provision is designed to accommodate changes to requirements (including equipment and software specifications) to meet changed or increased data processing requirements, to increase economy or efficiency, to improve performance or productivity, or to save energy. Any changes implemented shall be within the scope and systems life of the contract. Increased requirements up to 25 percent of those specified in the contract (including contractually specified options) shall be deemed to be requirements within the scope of this paragraph (d), provided the requirements are elected to be implemented by the contracting officer under the "Engineering Changes" provision. Other requirements shall be treated as new requirements requiring authorization for contracting under this § 201-23.104-5 (see also § 201-32.303(e)).

[FIRMR Amdt. 1, 50 FR 4363, Jan. 30, 1985, as amended by FIRMR Amdt. 4, 50 FR 27152, July 1, 1985]

§ 201-23.104-6 Commercial ADP support services.

Agencies do not require GSA approval to contract for commercial ADP support services. However, agencies shall comply with requirements regarding the sharing (see § 201-23.103(c)(1)) or use of existing Federal ADP resources or sources of supply.

§ 201-23.104-7 ADP equipment systems.

(a) When ADPE, software, and maintenance services (or any combination thereof) are "combined" and procured as an equipment system under a single procurement action, GSA approval shall be required when the price or charges for either the equipment (including attendant maintenance costs for rentals), the software, or the maintenance services exceeds the applicable dollar threshold in §§ 201-23.104-1, 201-23.104-2, or 201-23.104-3.

(b) When commercial ADP services and any combination of ADPE, software, or maintenance services are procured under a single procurement action, GSA approval shall be required when the individual price of either the equipment, the software, the maintenance services, or the commercial ADP services exceeds the applicable dollar threshold in §§ 201-23.104-1, 201-23.104-2, 201-23.104-3, or 201-23.104-5.

[FIRMR Amdt. 4, 50 FR 27152, July 1, 1985]

§ 201-23.105 Specific agency or agency component blanket delegation of procurement authority.

Specific changes in thresholds or conditions regarding the exercise of procurement authority by a particular agency or component thereof may be authorized by the GSA Assistant Administrator for Information Resources Management (K). The changes will be in writing, will cite this § 201-23.105, will state effectivity and scope of ap-

plicability, and will be directed to the designated senior official of the applicable agency.

[FIRMR Amdt. 4, 50 FR 27152, July 1, 1985]

§ 201-23.106 Specific acquisition delegation of procurement authority.

(a) If an agency determines that the conditions of the contemplated procurement are not covered by the blanket delegation of procurement authority provisions of §§ 201-23.104 or 201-23.105, or if the conditions of the contemplated procurement change during the procurement process so that those provisions become inapplicable, two copies of the agency procurement request (APR) and other applicable documents shall be forwarded to the General Services Administration (KMA), Washington, DC 20405. The APR shall be signed by an official who has been authorized to initiate the acquisition action and shall identify the position title and organizational identity of the official who has been authorized to conduct the procurement. GSA will process only those submissions signed by authorized officials and identified by position title and organizational identity who appear on the submitted listing (see § 201-23.102(b)). Other submissions will be returned without action to the submitting office for resubmission by an authorized agency official. In addition, the APR shall contain the name and telephone number of an individual within the agency who shall act as the point of contact for GSA. The APR shall include, as applicable, information set forth in §§ 201-23.106-1 or 201-23.106-2.

(b) Any Federal agency may elect (or continue, if an election has been made) to use the alternate APR submission requirements as set forth in § 201-23.106-2 when submitting ADP equipment or service procurement requests to GSA. This procedure is an alternative to the APR submission provisions of § 201-23.106-1.

(c) The agency designated senior official shall advise GSA (KMA), Washington, DC 20405, when the alternate APR submission procedure will be used by the agency. Agency notifications already submitted (under F-126 procedures) will be assumed to continue (as modified by this Temp. Reg. 5) unless GSA is notified to the contrary.

(d) GSA encourages agencies to establish early planning coordination with GSA's agency planning and authorization officials (KMA). Often potential delays and problem areas can be identified and remedied in advance of the formal APR submission.

(e) When required, the information submitted by an agency may be made available to Government oversight activities.

[FIRMR Amdt. 4, 50 FR 27152, July 1, 1985]

§ 201-23.106-1 Agency procurement request (APR) submissions.

(a) *APR for ADP Equipment.* The APR shall include, as applicable—

(1) A copy of the proposed solicitation document, if available. If the solicitation document is not available, the functional specifications or the ADPE configuration that is to be acquired shall be included. Unless a functional specification is provided, the description should reflect the estimated number of central processing units, storage devices and controllers, terminals, other peripheral devices, and communications devices.

(2) A statement providing the estimated budgeted value of the procurement in the agency's request to OMB, whether these funds were implicitly or explicitly described, and the fiscal year of the budget request.

(3) Estimated system or item life (see § 201-30.008) and estimated system or item life cost.

(4) Location (city and state) of the data processing facilities involved.

(5) Fiscal quarter during which the solicitation is expected to be released to industry for procurement action.

(6) Unique software, maintenance, and support requirements, if any.

(7) A statement or other evidence that indicates that a performance evaluation has been made for the currently installed ADP system(s), when applicable, to ensure that the proposed procurement represents the lowest overall cost alternative for meeting the agency's data processing need (see § 201-34.002).

(8) Evidence that site construction/modification is, or is not, required (see

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FPMR § 101-17.101-5). One of the following statements shall be used for this purpose:

(i) The acquisition of this equipment will not require site construction or modification by GSA; or

(ii) The acquisition of this equipment will require site (construction) (modification) by GSA which must be completed by (date); notification and information, as applicable, (has been) (will be) submitted to GSA on (date).

(9) A statement that the need to acquire ADPE or ADP systems has been documented as required by § 201-30.007.

(10) A statement that, as Parts 201-31 and 201-33 require, available ADP resources have been screened and no ADP resources are available to satisfy the user's requirements.

(11) If applicable, a copy of the certified data supporting any use of a specific make and model specification as required by § 201-11.002-1; and, if applicable, the certified data supporting of contemplated requirement available from only one responsible source (see § 201-11.002(b)).

(12) Documentation, when telecommunications are involved (see § 201-39.006-4).

(13) One of the following statements regarding compliance with the Privacy Act of 1974:

(i) Equipment or services identified by this request will not be used to operate a system of records on individuals to accomplish an agency function;

(ii) Equipment or services identified by this request will be used to operate a system of records on individuals to accomplish an agency function. All applicable provisions of the Privacy Act have been complied with, including submitting a report of new systems to Congress and OMB on (date).

(14) A brief description of the primary agency program(s) that the equipment or services will support.

(15) Computer security requirements, where applicable, as certified by the responsible agency official (see Part 201-7).

(16) Software conversion study where applicable (see § 201-30.012-1).

(17) Findings to support the use of compatibility limited requirements as required by § 201-30.009-3, where applicable.

(18) A statement as to whether the acquisition plan contemplates contracting (see FAR 7.104(c)) under policies and procedures for:

(i) Full and open competition (see FAR Subpart 6.1);

(ii) Full and open competition after exclusion of sources (see FAR Subpart 6.2); or

(iii) Other than full and open competition (see FAR Subpart 6.3). In addition, provide the applicable statutory contracting authority cited in FAR 6.302-1 through 6.302-7 permitting the use of such procedures.

(b) *APR for ADP services.* The APR shall include, as applicable—

(1) *Agency information.* Agency name, address, names and telephone numbers of appropriate technical and contracting officials including the agency official assigned to conduct the procurement.

(2) *Project title and description.* (i) Name or designation of agency ADP resource system.

(ii) Description of the requirement that is to be procured. Indicate whether this is a new requirement, or an addition to or a modification of a current ADP service system.

(iii) Estimated system life (see § 201-30.008).

(iv) Estimated system life cost (see § 201-2.001 for definition).

(v) Location(s) (city and state) which require user access to the system.

(vi) Fiscal year and quarter during which the solicitation or requirements package is expected to be released to the private sector for procurement action.

(vii) Expected contract performance commencement date.

(3) *Procurement planning.* (i) Budgeted value of the procurement in the agency's request to OMB, indicating whether implicitly or explicitly described, including fiscal year(s) involved.

(ii) Summary description of the alternatives considered to meet the requirement, the related costs, and the basis for the alternative selected with reference to the agency's requirements analysis and analysis of alternatives

(see §§ 201-30.007 and 201-30.009, respectively).

(iii) If within TSP scope (see § 201-32.303-2), indicate contracting arrangement contemplated (MAS, B/A, or exception) and type (full, interactive, or remote batch). If exception to TSP see paragraph (b)(5), below.

(iv) Conclusions of performance evaluation for the currently installed or used ADP resource system, when applicable (see § 201-34.002).

(v) A statement that available ADP resources have been screened and none is available to satisfy the requirement (see Parts 201-31 and 201-33).

(vi) Documentation regarding telecommunications when applicable (see § 201-39.006-4).

(vii) Conclusions of software conversion study, when applicable (see § 201-30.012-1).

(4) *Procurement strategy.* (i) Description of conversion management planning actions (see § 201-30.012).

(ii) Type of specification (see § 201-30.013).

(iii) The basis and documentation to support the use of compatibility limited requirements, when applicable (see § 201-30.009-3).

(iv) If applicable, a copy of the certified data supporting any use of a specific make and model specification as required by § 201-11.002-1; and if applicable the certified data supporting a contemplated requirement available from only one responsible source (see § 201-11.002(b)).

(A) The critical service or unique features or mandatory requirements, dictated by the intended use, that limits the procurement to a sole source (The overriding necessity of these competition limiting requirements shall be clearly identified.);

(B) The steps taken which led to the conclusion that no other known or probable source of supply exists for the required services; and

(C) The practical factors which preclude the development of specifications or the determination of the requirement in a form suitable for competition.

(v) The documentation to support a dedicated teleprocessing system strategy, when applicable (see § 201-32.303(b)(2)).

(vi) If within TSP scope (§ 201-32.303-2), source selection information, as follows:

(A) List of ADP service requirements (mandatory and evaluated optional features, if any);

(B) Other requirement elements to be evaluated;

(C) Summary description of the benchmark and the method for developing cost information from the benchmark results, or a description of how cost information will be determined if a benchmark is not used; and

(D) The method to be used for combining all cost elements to determine the lowest overall system life cost evaluation of the services contract portion.

(vii) If use of remote terminal emulation is to be a mandatory requirement, provide justification as set forth in § 201-24.214.

(viii) a statement as to whether the acquisition plan contemplates contracting (see FAR 7.104(c) under policies and procedures for:

(A) Full and open competition (see FAR Subpart 6.1);

(B) Full and open competition after exclusion of sources (see FAR Subpart 6.2); or

(C) Other than full and open competition (see FAR Subpart 6.3). In addition, provide the applicable statutory contracting authority cited in FAR 6.302-1 through 6.302-7 permitting the use of such procedures.

(5) *Exceptions or deviations.* Provide a statement that the agency has reviewed and complied with all applicable regulations. List those sections of the FIRMR and the use of standards that apply to this procurement that cannot or will not be met by the agency. Identify and justify deviations to the listed regulations that the agency desires or requires. If the exception is within the TSP scope, provide documentation required by § 201-32.303-3(e)(2).

(6) *Agency remarks.* Provide additional information concerning any of the above items or other special conditions associated with the procurement deemed necessary for understanding the APR.

(7) *Agency references.* Provide references to relevant past GSA authoriza-

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tions, meetings, telephone discussions, etc.

(8) *Agency signature.* The APR shall be signed by an official who has been assigned to initiate the acquisition action and shall specify the title of the official who has been assigned to be responsible for the conduct of the procurement (see § 201-23.102). GSA will process only those submissions signed by authorized officials. Other submissions will be returned without action to the submitting office for resubmission by an authorized agency official.

(c) *Supplemental submissions.* If prior to award the requirement or any of the procurement planning or strategy elements of an APR change materially from data submitted in the APR, irrespective of whether before or after authorization is received from GSA to proceed, the agency shall promptly provide a supplementary APR submission to GSA containing pertinent information.

[FIRMR Amdt. 1, 50 FR 4363, Jan. 30, 1985, as amended by FIRMR Amdt. 4, 50 FR 27152, July 1, 1985]

§ 201-23.106-2 Alternate APR submission requirements.

(a) Agencies may elect to use the alternate APR submission procedure set forth in this § 201-23.106-2 when submitting ADP equipment or service requests to GSA. However, because the procedure offers agencies broader procurement autonomy than otherwise provided in § 201-23.106-1, it places greater emphasis on the responsibilities of agency officials to ensure that current regulatory provisions are followed before acquisitions take place. In establishing internal procedures, agencies should strive to (i) designate executive level officials to initiate and accept accountability for acquisition actions under this regulation's alternate APR submission procedure and (ii) provide for an independent review to validate agency compliance with regulations.

(b) Alternate APR submission requirements for agency request for ADP equipment or services are as follows:

(1) *Agency Information:* Provide agency name, address, and location where equipment will be installed or services will be performed. Provide names and telephone numbers of appropriate technical and contracting officials. Identify the position title and organization identity of the official authorized to conduct the acquisition (see § 201-23.106(a)).

(2) *Project Title and Description:* (i) Provide the project title and a brief but specific description of the primary agency program(s) that the ADP equipment or service will support.

(ii) Provide a brief but specific description of the current major system components (including ADPE configuration) or services supporting the program(s).

(iii) Provide a brief but specific description of the major system components or services to be acquired during the systems life of the requirement. This should reflect resources required for system expansion (i.e., anticipated augmentations, upgrades, and other system modifications) during the systems life if such requirements will be included in the solicitation document as evaluated options. The delegation resulting from this submission will be limited to resources described herein.

(3) *Acquisition strategy:* (i) Indicate whether or not the proposed procurement approach is to satisfy a requirement using a specific make and model specification; whether compatibility limited requirements will be used on either a mandatory or nonmandatory basis; and specify the type of contract expected to be used.

(ii) Identify by fiscal year quarter the following planned milestones: Release of solicitation document and contract award.

(iii) If the request involves a pilot or prototype, the strategy for the follow-on implementation phase must be described.

(iv) Indicate whether the acquisition plan contemplates contracting (see FAR 7.104(c)) under policies and procedures for:

(A) Full and open competition (See FAR Subpart 6.1);

(B) Full and open competition after exclusion of sources (see FAR Subpart 6.2); or

(C) Other than full and open competition (see FAR Subpart 6.3). In addition, provide the applicable statutory

contracting authority cited in FAR 6.302-1 through 6.302-7 permitting the use of such procedures.

(4) *Estimated Contract Life and Cost:* The estimated contract cost of the acquisition (not the overall system life cost) shall be identified by type of request for the contract life and shall include all anticipated optional quantities, services, and periods. Detailed cost breakdowns may be included when necessary to describe clearly the estimated costs. The estimated contract cost (for all years) should correspond to the planned contract life. The delegation of authority resulting from this submission will be limited to quantities and years described herein.

Type of request	Estimated contract cost	Contract life
—ADPE system or item		
—ADPE system replacement/augmentation		
—Proprietary software		
—Equipment maintenance		
—ADP services acquired under TSP/BA		
—ADP services acquired under TSP/MAS		
—ADP services acquired under TSP exception		
—ADP services outside TSP scope		

(5) *Regulatory compliance:* (i)(A) Provide a statement which indicates that the agency has reviewed and complied (or will comply) with all applicable regulations, or

(B) List those deviations to the regulations that apply to this request for which approval is sought and provide an explanation for each regulatory deviation request (see Subpart 201-1.4).

(ii) Provide the date of completion or most recent update of the following documentation, or indicate not applicable:

Documentation	Date
(A) Requirements analysis (see § 201-30.007).	
(B) Analysis of alternatives (see § 201-30.009).	
(C) Performance evaluation for the currently installed ADP system (see §§ 201-30.007(d)(9) and 201-34.002).	
(D) Findings to support the use of compatibility limited requirements (see § 201-30.009-3).	
(E) Software conversion study (see § 201-30.012-1).	
(F) Certified data to support a contemplated requirement available from only one responsible source (see § 201-11.002(b)).	
(G) Certified data to support a contemplated requirement using a specific make and model specification (see § 201-11.002-1).	
(H) Description of those planned actions necessary to foster competition for subsequent procurements (see § 201-30.012).	

(6) *Agency remarks:* Provide additional information deemed necessary concerning any of the above items or special conditions associated with this procurement; e.g., required building contruction/modification by GSA.

(7) *Agency/GSA references:* Provide references to previous GSA authorizations (including previous GSA case numbers), meetings, telephone discussions, etc.

(8) *Agency authorized signature, position title, organizational identity, date.*

NOTE: GSA will process only those agency submissions signed by an authorized official (see § 201-23.106(a)). The official's position title and organizational identity must be provided.

[FIRMR Amdt. 4, 50 FR 27153, July 1, 1985]

§ 201-23.107 GSA action on agency APR submissions.

(a) After GSA review of an APR and the documentation submitted under §§ 201-23.106-1 or 201-23.106-2 (and subject to the right of the agency to determine its individual software, maintenance, and ADP services or equipment requirements, including the development of specifications for, and the selection of, the types and configurations of equipment needed), the GSA Assistant Administrator for Information Resources Management or designee will—

(1) Delegate to the agency the authority to conduct the contracting action;

(2) Delegate to the agency the authority to conduct the contracting action and provide for GSA participation in the contracting action with the agency to the extent considered necessary under the circumstances; or

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(3) Provide for the contracting action by GSA or otherwise obtain the requirement on behalf of the agency.

(b) GSA will act within 20 workdays after receiving full information from an agency submitting an APR or supplemental APR data. To establish a common understanding of the 20 workday period, GSA will provide within this period written verification that identifies the date of receipt of an APR or supplemental APR data to the agency concerned. When the 20 workday period (plus 5 calendar days for mail lag) has expired, the agency concerned may proceed with the contracting action as though it had, in fact, received GSA authorization.

(c) If after review GSA finds that the APR does not contain the information required or that unusual circumstances surrounding the acquisition dictate that a longer appraisal period will be required, GSA will provide within the 20 workday period written notice to that effect including an estimate of the time required to complete the review. Under these circumstances the automatic authorization rule as set forth in paragraph (b), above, shall not apply.

(d) When an agency selects the alternate APR submission procedure under § 201-23.106-2(a), GSA will promptly review and take appropriate action on the APR. When necessary, GSA will conduct a more in-depth review before issuing a DPA under the alternate APR submission procedure. In some instances, this may require the submission of additional information.

(e) GSA will conduct periodic reviews of current and past agency acquisition actions as it deems appropriate. These periodic reviews will (i) verify agency compliance with regulations and DPA conditions or limitations, (ii) assess GSA procurement policies and directions given to agencies, and (iii) assess the agency's planning and control mechanisms regarding the use of the delegated authority to accomplish economical and efficient acquisition, use, and management of ADP resources. GSA will take appropriate actions when findings indicate failures to comply with regulations or conditions or limitations of individual DPA's or unauthorized deviations to regulations. Actions may include voiding a DPA before award and withdrawing an agency's authority to use the alternate APR submission procedure.

[FIRMR Amdt. 1, 50 FR 4363, Jan. 30, 1985, as amended by FIRMR Amdt. 4, 50 FR 27154, July 1, 1985]

§§ 201-23.108—201-23.110 [Reserved]

§ 201-23.111 GSA contracting for specific APR requirements.

§ 201-23.111-1 Requiring agency responsibilities.

When GSA contracts for ADP items for another agency the contracting effort is a joint endeavor of both the requiring agency and GSA. To preclude an overlap of functions, the responsibilities of each participant in the contracting effort are delineated with the requiring agency's functions listed in this § 201-23.111-1. (The functions of GSA are listed in § 201-23.111-2.) The requiring agency shall—

(a) Submit to GSA the documentation required by § 201-23.106-1. The documentation shall include the agency's requirements, the system/item life, the technical specification, and, if applicable, the justification to support the contracting procedure;

(b) Prepare the technical portion of the solicitation document and define any unique requirements;

(c) Provide necessary technical personnel (and contracting personnel if the agency desires) as members of the contract negotiating team;

(d) Prepare the selection plan and submit it to the GSA contracting officer before issuance of the solicitation document;

(e) Evaluate proposals from a technical point of view and arrange for offerors' oral presentations, when appropriate;

(f) Provide copies of correspondence to the GSA contracting officer when the agency is authorized to communicate directly with offerors under the provisions of § 201-23.111-2;

(g) Determine the technical capability of the items offered to meet the requiring agency's requirements, technical specifications, and system/item life. This responsibility shall include

the identification of those proposals that are, and those proposals that are not, technically acceptable/responsive. The results shall be transmitted to the GSA contracting officer for appropriate action with the offerors;

(h) Select the lowest overall cost item and transmit this information with the necessary supporting documentation to the GSA contracting officer. If a conclusive judgment cannot be made on the basis of lowest overall cost, price and other factors considered, a findings and determination to this effect shall be prepared before any other factor is used as a basis for selection;

(i) Provide the following administrative information to the GSA contracting officer with the data required in paragraph (h) above—

(1) Finance data (e.g., paying office and fund citation);

(2) Contract distribution list and addresses; and

(3) Identity of assigned contracting officer within the requiring agency;

(j) Assist the GSA contracting officer when debriefings are requested by offerors;

(k) Place the delivery order, if applicable;

(l) Accomplish any other task not included above which will further the joint contracting objective or expedite completion of the contracting action at the agency's discretion and with GSA concurrence; and

(m) Administer the contract in accordance with the terms and conditions thereof.

[FIRMR Amdt. 1, 50 FR 4363, Jan. 30, 1985, as amended by FIRMR Amdt. 4, 50 FR 27154, July 1, 1985]

§ 201-23.111-2 GSA responsibilities.

When contracting for ADP items for another agency in conjunction with the requiring agency's responsibilities in § 201-23.111-1, GSA will—

(a) Appoint the GSA contracting officer;

(b) Form the contracting team which will be headed by the GSA contracting officer;

(c) Prepare and issue the solicitation document, and all amendments thereto after concurrence of the requiring agency (the technical material shall be supplied in final form by the requiring agency);

(d) Prepare the contracting plan (which will be coordinated with the requiring agency), and any justifications or contractual material needed for the selection plan;

(e) Act as the point of contact between offerors and the Government. In this respect, the GSA contracting officer will provide the requiring agency's designated point of contact with a copy of all correspondence between the offerors and the Government. Correspondence going to offerors will be coordinated with the requiring agency. When appropriate, the GSA contracting officer may authorize direct communication between the offerors and the requiring agency on purely technical matters. In these instances, the requiring agency shall provide a copy of the correspondence to the GSA contracting officer;

(f) Receive offers from the offerors;

(g) Provide copies of all offers received to the requiring agency;

(h) Review all offers from a contractual point of view;

(i) Provide personnel to be present at demonstrations to determine the technical capability of the items offered;

(j) Notify the offeror concerned when an offer is determined to be unacceptable;

(k) If applicable, (1) Conduct negotiations with all offerors whose proposals are within the competitive range, price and other factors considered;

(2) Notify the offerors of the date and time that negotiations are to be terminated;

(3) Provide the requiring agency's designated point of contact with both a report which summarizes the results of negotiations and copies of proposed contracts negotiated with offerors for consideration in the requiring agency's evaluation and analysis; and

(4) Brief the appropriate requiring agency personnel on the results of contract negotiations when requested;

(l) Award the contract after receiving notification of the requiring agency's selection;

(m) Debrief offerors, with the assistance of requiring agency representa-

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tives, when debriefings are requested by offerors; and

(n) Distribute the contract and forward all pertinent documents to the successor contracting officer appointed by the requiring agency.

[FIRMR Amdt. 1, 50 FR 4363, Jan. 30, 1985, as amended by FIRMR Amdt. 4, 50 FR 27154, July 1, 1985]

§ 201-23.112 Federal agency responsibility when procurement authority is delegated by GSA.

§ 201-23.112-1 Agency responsibility.

When acting under a GSA delegation of procurement authority under Subpart 201-23.1, the agency designated senior official is responsible for compliance with applicable procurement policies, regulations, and, in particular, Parts 201-24 and 201-32 and, if applicable, the specific terms of the delegation (see § 201-23.107).

[FIRMR Amdt. 4, 50 FR 27154, July 1, 1985]

§ 201-23.112-2 GSA review of agency acquisition actions.

GSA reserves the right to review agency actions supporting any acquisition authorized under this Subpart 201-23.1. Documentation relative to agency actions made under the regulations issued under section 111 and other provisions of the Federal Property and Administrative Services Act of 1949, as amended, shall be made available for review upon request of GSA officials. (Documentation should be retained in agency files for such periods as required by applicable law or regulation.)

[FIRMR Amdt. 4, 50 FR 27154, July 1, 1985]

Subpart 201-23.2—Automatic Data Processing (ADP) Fund

§ 201-23.200 [Reserved]

§ 201-23.201 Use of the ADP Fund for purchase of ADP items.

When a lease/purchase evaluation indicates that it would be in the best interest of the Government to purchase rather than lease ADPE or commercially available software and funds are not readily available within the agency (e.g., when there is insufficient time to secure the necessary funds under normal budgetary procedures or to reprogram for the required funds), the matter shall be forwarded to GSA in the manner prescribed in § 201-32.102. When approved by GSA, the ADP fund may be used by agencies to obtain maintenance services for ADP leased from GSA through the ADP fund.

§ 201-23.202 Use of the ADP Fund for GSA-operated FDPCs.

Section 201-31.010-1 provides information regarding use of the ADP Fund in connection with FDPCs.

§ 201-23.203 Use of the ADP Fund for reuse of ADPE.

Section 201-33.009 provides information regarding use of the ADP Fund in connection with reuse of ADPE.

Subpart 201-23.3—Authority to Proceed with Acquisition of Telecommunication Resources—[Reserved]

Subpart 201-23.4—Use of Exchange/Sale Authority—[Reserved]

Subpart 201-23.5—Use of Multi-Year Contracting Authority

§ 201-23.500 [Reserved]

§ 201-23.501 Use of multi-year contracting authority for small telecommunications systems.

(a) In order to provide for the economical and efficient acquisition of small telecommunications systems, executive agencies are authorized under 40 U.S.C. 481(a)(3) to enter into multi-year contracting arrangements subject to the following conditions:

(1) Each agency electing to exercise the delegation shall establish management and control procedures coordinated by the agency designated senior official for information resources management activities and agency senior procurement executive.

(2) The authority may be used for requirements only within the 50 States.

(3) The telephone systems must be at locations where requirements can

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be satisfied by systems smaller than those described in § 201-39.002-1 (generally, less than 25 lines or 50 telephones).

(4) The system life shall not exceed 5 years.

(5) The system life cost shall not exceed $25,000.

(6) The authority shall not be used where GSA consolidated local telephone service is available.

(b) The blanket delegation is to the agency head and may be redelegated. GSA reserves the right to review an agency's exercise of this delegated authority. The GSA Assistant Administrator for Information Resources Management may change the conditions regarding the exercise of the authority by a particular agency or component thereof, including withdrawal of the authority. (Any changes will be in writing, will cite this § 201-23.501, will state the effective date and scope of the change, and will be directed to the designated senior official of the applicable agency.)

[FIRMR Amdt. 4, 50 FR 27154, July 1, 1985]

PART 201-24—ACQUISITON POLICIES

Sec.
201-24.000 Scope of part.

Subpart 201-24.1—General Acquisition Policies

201-24.100 Scope of subpart.
201-24.101 Agency responsibilities.
201-24.102 Competition.
201-24.103 Small business and labor surplus concerns.
201-24.104 Small purchases.
201-24.105 Major system acquisitions.
201-24.106 Urgent requirements.

Subpart 201-24.2—ADP Acquisition Policies

201-24.200 Scope of subpart.
201-24.201 Authority to acquire ADP resources.
201-24.202 Severable ADP requirements.
201-24.203 Furnishing ADP items and services to contractors.
201-24.204 Government purchase option rights in contractor acquired ADP equipment.
201-24.205 Software contracting objectives.
201-24.206 Acquistion of outdated ADPE.
201-24.207 Solicitations for compatibility limited requirements.
Sec.
201-24.208 Evaluation of acquisition alternatives.
201-24.208-1 [Reserved]
201-24.209 Dedicated ADPE or software alternatives in ADP services contracting.
201-24.210 Exercising renewal options in ADP services contracts.
201-24.211—201-24.212 [Reserved]
201-24.213 Restrictions on the use of simulation modeling in ADP equipment system procurements.
201-24.214 Use of remote terminal emulation in ADP equipment system and ADP services acquisitions.
201-24.215 Use of capability and performance validation in ADP equipment system procurements.
201-24.216 Award criteria for low cost ADP equipment acquisitions.

Subpart 201-24.3—Telecommunication Acquisition Policies

201-24.300 Scope of subpart.
201-24.301 Authority to acquire telecommunication resources.
201-24.302—201—201-24.304 [Reserved]
201-24.305 Comparative cost analysis.

AUTHORITY: Sec. 205(c), 63 Stat. 390; 40 U.S.C. 486(c).

SOURCE: FIRMR Amdt. 1, 50 FR 4366, Jan. 30, 1985, unless otherwise noted.

§ 201-24.000 Scope of part.

This part prescribes policies and procedures for the acquisition of automatic data processing (ADP) and telecommunications resources.

Subpart 201-24.1—General Acquisition Policies

§ 201-24.100 Scope of subpart.

This subpart prescribes policies and procedures that apply to both ADP and telecommunications acquisitions.

§ 201-24.101 Agency responsibilities.

ADP and telecommunications officials (see Parts 201-30 and 201-38) and procurement and contracting officials (see Parts 201-32 and 201-40) shall be responsible for the implementation of the policies and procedures of this Part 201-24. Agency accountability for the acquisition of ADP and telecommunications resources is assigned to the agency senior official designated by the agency head (see 44 U.S.C.

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3506(c)(4) and §§ 201-20.001 and 201-21.001).

§ 201-24.102 Competition.

See Part 201-11.

§ 201-24.103 Small business and labor surplus concerns.

Requirements for information resources may be set-aside for award to small businesses, to the Small Business Administration (in accordance with section 8(a) of the Small Business Act), or to labor surplus area concerns. The provisions of FAR Parts 19 and 20 and implementing agency policy and procedures also apply.

§ 201-24.104 Small purchases.

(a) Except as provided in paragraph (b) of this § 201-24.104, the provisions of FAR Part 13 (Small purchases and other simplified purchase procedures) apply when the aggregate amount over the system/item life of a requirement for information resources does not exceed $25,000.

(b) Alternatively, if the contracting officer elects to satisfy such requirements through use of GSA information resources schedule contracts, applicable FIRMR schedules procedures shall be followed (see §§ 201-32.206, 201-32.303, and 201-40.008).

[FIRMR Amdt. 4, 50 FR 27155, July 1, 1985]

§ 201-24.105 Major system acquisitions.

Major information resources systems to be acquired in accordance with the provisions of OMB Circular A-109 and agency implementing directives are subject to the FIRMR (see § 201-32.103).

§ 201-24.106 Urgent requirements.

The existence of an unusual and compelling urgency (e,g, the Government will suffer serious injury, financial or otherwise, if the equipment or services are not available by a specific date) shall not relieve the agency from the responsibility of requesting offers from as many potential sources as is practicable under the circumstances. The system/item life duration for an urgent requirement contracted for under other than full and open competition procedures shall be held to the minimum practicable life.

[FIRMR Amdt. 4, 50 FR 27155, July 1, 1985]

Subpart 201-24.2—ADP Acquisition Policies

§ 201-24.200 Scope of subpart.

This subpart prescribes policies and procedures (in addition to those in Subpart 201-24.1) that have application to the acquisition of ADP resources.

§ 201-24.201 Authority to acquire ADP resources.

See Part 201-23.

§ 201-24.202 Severable ADP requirements.

(a) When the very subject matter of a contract is for something other than the acquisition of commercially available ADP items or services, but some of these items or services are to be delivered under the contract, the acquisition of the ADP items or services by the Government contractor is not subject to the FIRMR (see § 201-1.103). However, to ensure full and open competition, agencies shall sever requirements for general purpose commercially available ADPE and ADP services and acquire them in accordance with the FIRMR when it is operationally feasible to do so and this action will promote economy and efficiency. Severable action shall be considered by an agency when—

(1) The ADPE or ADP service requirement is or can be identified as a separate line item;

(2) The value of the ADP portion exceeds $500,000;

(3) The items can be acquired by the Government and delivered to the contractor as required by the production schedule;

(4) Adequate price competition can be achieved on the severed ADP portion (see FAR 15.804-3(b));

(5) The expected cost reduction will exceed the added costs of acquisition; and

(6) Severing the ADPE and/or ADP services will not affect the contractor's ability and responsibility to perform

as required by the provisions of the contract.

(b) The decision to sever ADP requirements shall be made before soliciting offers. When the ADP items or services are severed, a Government-furnished property clause shall be included in the solicitation document for the non-ADP items or services acquisition. When items are not severed, the Government contractor shall be required to identify the quantity and specific make and model of the ADP equipment that is delivered as part of the non-ADP system to facilitate the reuse of the ADP equipment.

[FIRMR Amdt. 1, 50 FR 4366, Jan. 30, 1985, as amended by FIRMR Amdt. 4, 50 FR 27155, July 1, 1985]

§ 201-24.203 Furnishing ADP items and services to contractors.

(a) When the very subject matter of a contract is for something other then the acquisition of ADP items or services, and commercially available ADPE is to be incorporated into the non-ADP system or commercial ADP services are to be used in contract performance, the agency shall not require the contractor to acquire and manage the non-ADP system in accordance with the FIRMR (see § 201-1.103(b)(3)).

(b) Agencies shall sever requirements for general purpose commercially available ADP items or services from the overall requirement, acquire them in accordance with these regulations, and provide them as Government-furnished property or services to the contractor when it is operationally feasible to do so and this action will promote economy, efficiency, and full and open competition.

(c) To facilitate the reutilization of ADPE, the Government contractor shall be required to identify the quantity and specific make and model of the ADPE that is delivered as a part of the non-ADP system.

(d) In those instances when ADP items or services are severed and acquired by the Government, care must be taken to ensure that the prime contractor's ability and responsibility to perform in accordance with the contract provisions are not disturbed.

[FIRMR Amdt. 1, 50 FR 4367, Jan. 30, 1985, as amended by FIRMR Amdt. 4, 50 FR 27155, July 1, 1985]

§ 201-24.204 Government purchase option rights in contractor acquired ADP equipment.

(a) Notwithstanding the provisions of § 201-1.103, when leased ADPE is used on Government contract work and the total cost of leased ADPE is absorbed by the Government under a cost-reimbursement type contract, the contracting officer shall require the contractor to include a provision in the lease contract stating that the Government will have the right to exercise any purchase option and realize any other benefits earned through lease payments.

(b) When leased ADPE is used on Government contract work under a cost-reimbursement type contract and less than 100 percent of the cost of the equipment is absorbed by the Government, the contracting officer should obtain for the Government (where possible) the right to realize accrued purchase options credits if the contractor elects not to exercise the purchase option. Accordingly, agency negotiation objectives for cost-reimbursement type contracts shall include the following when less than 100 percent of the lease cost of the ADP equipment is absorbed by the Government:

(1) The encouragement of contractors to agree to the incorporation in the ADP equipment lease of a Government right to realize accrued purchase option credits;

(2) The obtaining, if possible, of a Government right of first refusal on accrued purchase credits if the contractor elects not to exercise the purchase option; and

(3) The providing of an advance notice of at least 60 days (120 days, if feasible) to the Government when the contractor proposes to terminate the ADP equipment lease if the Government has been granted rights to accrued purchase option credits.

(c) If the Government has been granted rights to purchase option credits in accordance with paragraph (b) of this section and the contractor elects not to exercise the purchase option, the ADPE shall be reported

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through agency or GSA reutilization channels as set forth in Part 201-33.

(d) If the Government elects to exercise an option to purchase the leased ADPE in accordance with paragraph (a) and (b) of this section, it is in the nature of an acquisition. Accordingly, the agency shall comply with the applicable provisions of the FIRMR relating to the acquisition of ADPE.

§ 201-24.205 Software contracting objectives.

When acquiring commercially available software, agencies shall strive to obtain the following objectives—

(a) Avoid restrictive clauses that limit the use of the software to a specific ADP system, installation, or organization;

(b) Incorporate a clause that will permit other Government agencies to obtain the software under the contract being negotiated;

(c) Obtain additional quantity discounts should any other Government agency acquire the same software under the contract in question; and

(d) Ensure that the contractor is obligated to support and maintain the software in subsequent years.

§ 201-24.206 Acquisition of outdated ADPE.

(a) The acquisition of (1) outdated ADPE and (2) ADPE that is no longer being installed by the commercial (non-government) market to satisfy requirements for commercially available, general purpose ADPE, most often does not achieve lowest overall cost, price and other factors considered over the system/item life. This is due to factors such as higher price/performance ratios, lower reliability, decreased functionality, and higher energy consumption.

(b) Outdated ADPE and ADPE that is no longer being installed by the commercial (non-government) market shall not be acquired unless it is determined to be the lowest overall cost source for fulfilling the Government's need, price and other factors considered over the system/item life. None of the following actions shall be taken unless they achieve lowest overall cost, price and other factors considered, over the system/item life:

(1) Reuse of Government excess outdated ADPE. (See § 201-33.012.)

(2) Specification of outdated ADPE as a mandatory requirement in a Government solicitation.

(3) Award of a contract for delivery of outdated ADPE, including options to acquire additional optional quantities.

[FIRMR Amdt. 7, 51 FR 9958, Mar. 24, 1986]

§ 201-24.207 Solicitations for compatibility limited requirements.

(a) Compatibility limited requirements shall not be made mandatory requirements solely for reasons of economy or efficiency. In solicitations for the replacement of a computer system(s), offers for non-compatible equipment may be excluded only if the agency determines that the risk of a conversion failure requires the exclusion (see § 201-30.009-3).

(b) Solicitations which include compatibility limited requirements for the augmentation of a computer system(s) may exclude non-compatible offers only if the agency determines that exclusion of non-compatible components and any other alternative is justified (see § 201-30.009-3). The justification for precluding the use of any alternative other than augmentation with compatible components must be based on the recent completion of both a requirements analysis (see § 201-30.007) and an analysis of alternatives (see § 201-30.009).

(c) If the conditions of paragraphs (a) or (b) of this § 201-24.007 are not met, solicitations which include compatibility limited requirements shall provide for the submission and evaluation of acceptable non-compatible offers from responsible offerors that will meet the user's requirement at the lowest overall cost, price and other factors considered, over the system/item life.

[FIRMR Amdt. 4, 50 FR 27155, July 1, 1985]

§ 201-24.208 Evaluation of acquisition alternatives.

(a) Except as provided in paragraph (c) of this § 201-24.208, a comparative cost analysis shall be made to determine the method of acquisition that

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represents the lowest overall cost alternative over the system/item life. However, the administrative costs of conducting an analysis to determine the lowest overall cost alternative shall be commensurate with the cost or price of the item being acquired and with the benefits expected to be derived from conducting the analysis. The alternatives that must be considered will vary, depending on the system/item being acquired and the requirement of the initial user. As a minimum, all of the following alternatives that will meet the user's needs shall be considered.

(1) Alternative methods of acquisition for ADPE:

(i) Purchase;

(ii) Lease to ownership (Funding statutes may preclude acceptance of some lease to ownership plans.);

(iii) Lease with option to purchase; and

(iv) Straight lease.

(2) Alternative methods of acquisition for proprietary software:

(i) Perpetual license to use;

(ii) License to use for extended term (i.e. more than 12 months); and

(iii) License to use on a monthly basis.

(3) Alternative methods of acquisition for ADPE maintenance services:

(i) On-site maintenance capability;

(ii) On-call maintenance; and

(iii) Time and materials.

(4) Commercial ADP services:

(i) Short-term resources used; and

(ii) Extended system life, resources used or dedicated.

(b) The present value of money factor, as set forth in OMB Circular A-94, shall be included in comparative cost analyses, not withstanding the A-94 stated exception. The single discount rate (currently 10 percent) specified in the OMB Circular represents the approximate long run opportunity cost of capital in the private sector. Under this methodology, payments over time are adjusted to reflect the present value of these payments as of the date of contract award. All expenses over the system/item life for equipment, software, maintenance, other support, and predetermined in-house expenses for installation and operation must be adjusted.

(c) When an agency determines that a purchase alternative is likely to be the most advantageous method of acquisition for a system/item with an anticipated purchase price of $25,000 or less pursuant to analysis under paragraph (b) of § 201-30.007 and paragraph (c) of § 201-30.008, the analysis required by paragraph (a) of this § 201-24.208 is not required. See also § 201-24.216.)

[FIRMR Amdt. 1, 50 FR 4367, Jan. 30, 1985, as amended by FIRMR Amdt. 4, 50 FR 27155, July 1, 1985]

§ 201-24.208-1 [Reserved]

§ 201-24.209 Dedicated ADPE or software alternatives in ADP services contracting.

When a solicitation requires or allows an offeror to propose the dedicated use of ADPE or software in the performance of ADP services, the offeror shall be required to (i) price the use of the dedicated equipment or software on a separate line-item basis and (ii) specify the interface requirements between the offeror's system and the dedicated items. The Government shall reserve the right to furnish the dedicated items to the successful offeror for use in the performance of the contract. The location of the dedicated items is immaterial, except that all ADPE or software located at Government-owned or -controlled sites and operated by the Government or Government contract employees shall be considered dedicated-use ADPE or software requiring the separate pricing and interface definition.

§ 201-24.210 Exercising renewal options in ADP services contracts.

(a) Before exercising any renewal options, including those on a TSP basic agreement (BA) or MAS system life selection, the agency shall conduct an analysis to determine whether exercising the renewal option is the most advantageous method of fulfilling the Government's need, price and other fctors considered.

(b) Before exercising a renewal option on a system life selection awarded on an availability from only one responsible source basis, the

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agency shall conduct a new market survey on a timely basis to determine the availability of alternate sources of supply. If the survey indicated that an alternative source of supply exists, the agency shall prepare an acquisition plan (see FAR Part 7) showing the major milestones for satisfying the requirement on a full and open competition basis for the earliest practicable acquisition.

(c) Agency acquisition files shall be documented with the results of the evaluation.

[FIRMR Amdt. 4, 50 FR 27155, July 1, 1985]

§ 201-24.211—201-24.212 [Reserved]

§ 201-24.213 Restrictions on the use of simulation modeling in ADP equipment system procurements.

(a) Data structured for simulation purposes shall not be used as the only means of describing data processing requirements in solicitation documents. Simulation data shall be accompanied by a narrative description of the ADP objectives and workload and any available application logic diagrams.

(b) Solicitation documents shall not be structured in such a way as to require offerors to use a specific computer system simulator in order to submit their offers. When offerors submit computer simulation as part of their offers, they shall be required to describe clearly the simulation used and the make and model of the computer on which the simulation was run.

(c) Except for compatibility-limited requirements, performance validation based solely on simulation modeling of ADP equipment system performance shall not be stipulated in specifications.

[FIRMR Amdt. 2, 50 FR 26365, June 26, 1985]

§ 201-24.214 Use of remote terminal emulation in ADP equipment system and ADP services acquisitions.

(a) *Equipment systems.* (1) Each agency shall determine whether or not to require mandatory use of remote terminal emulation during each ADP equipment system procurement. An agency should study the GSA Handbook, "Use and Specifications of Remote Terminal Emulation in ADP System Acquisition," before making the determination.

(2) When an agency requires the mandatory use of remote terminal emulation during an ADP equipment system contracting action, the agency—

(i) Shall follow all mandatory procedures contained in the GSA Handbook;

(ii) Shall not require remote terminal emulation capabilities that are not explicitly defined in the GSA Handbook;

(iii) May declare an offer unacceptable in a negotiated contracting action if the offeror fails to provide the remote terminal emulation capabilities required by the solicitation; and

(iv) Shall not require an offeror to conduct a benchmark test using remote terminal emulation at the agency's site.

(b) *Services.* (1) Agencies shall not require the mandatory use of remote terminal emulation in ADP services contracting actions, except for—

(i) Dedicated teleprocessing requirements; or

(ii) Unusually large and complex shared teleprocessing requirements.

(2) Agencies desiring to make the use of remote terminal emulation mandatory in the acquisition of ADP services shall identify and justify to GSA the need for the use of the contemplated remote terminal emulation. This information will be provided along with the submission of the APR, when applicable.

(c) *Deviation.* Any agency desiring to deviate from the policy defined in paragraphs (a)(2) and (b)(2) of this section shall request, before the issuance of the solicitation documents, authority from GSA, under Subpart 201-1.4 procedures, to deviate.

(1) To request a deviation authority, an agency shall submit to the General Services Administration (KMA), Washington, DC 20405, a detailed technical description and justification for each specific deviation desired.

(2) When granted authority to deviate, an agency shall provide promptly to potential offerors detailed instructions specifying all mandatory remote

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terminal emulation capabilities not defined in the GSA Handbook and the manner in which each emulation benchmark test must be conducted. A notice indicating the availability of these materials shall be published in the Commerce Business Daily (CBD) at least 60 calendar days before the release of the solicitation document.

(d) *Handbook.* The GSA Handbook, "Use and Specifications of Remote Terminal Emulation in ADP System Acquisition," has been prepared to provide guidance to Federal agencies in designing and conducting remote terminal emulation benchmark tests. The Handbook summarizes introductory concepts and terminology of benchmarking and remote terminal emulation, describes when and how agencies should use remote terminal emulation, and specifies the remote terminal emulation capabilities that an agency may require offerors to provide for testing ADP systems during acquisition. Copies of the GSA Handbook are available upon written request to the General Services Administration (KED), Washington, DC 20405.

§ 201-24.215 Use of capability and performance validation in ADP equipment system procurements.

(a) Agencies shall use ADP equipment systems capability validation (including operational capability demonstrations) and performance validation techniques (including benchmarks) in contracting for ADP equipment systems, components, or software. Agencies shall use capability and performance validation techniques as are feasible and necessary to reduce risks that:

(1) Insufficient capacity, inadequate functional capability, or degraded ADP performance may adversely impact the accomplishment of agency mission needs over the system life; or

(2) Excessive capacity or capability may be uneconomical.

(b) Agencies shall adopt a performance validation plan which is cost-effective and provides adequate protection against the adverse impact on agency mission needs of acquiring oversized or undersized ADPE capacity. When benchmarking is adopted as part of the performance validation plan, solicitations, where possible, should identify those programs that are representative and that require the minimum amount of reprogramming or conversion

(c) Considerations in selecting capability and performance validation techniques are set forth in § 201-30.013-3. In addition, both the FIRMR bulletin series and Section D ("Performance and Capability Validation") of the GSA document, Guidance to Federal Agencies on the Preparation of Specifications, Selection, and Procurement of ADP Equipment Systems, provide guidance to agencies in selecting appropriate capability or performance validation techniques during procurement planning.

[FIRMR Amdt. 2, 50 FR 26365, June 26, 1985]

§ 201-24.216 Award criteria for low cost ADP equipment acquisitions.

Agencies may acquire ADPE on the basis of lowest offered purchase price when all of the following conditions are met:

(a) The purchase price of each system or item of equipment (including associated software) being acquired does not exceed $25,000;

(b) The total purchase price of all of the equipment and software being acquired under the procurement is $300,000 or less;

(c) The requirements are not fragmented to circumvent the thresholds in paragraphs (a) and (b) of this § 201-24.216;

(d) The purchase method is likely to be the lowest overall cost acquisition alternative (see §§ 201-24.208 and 201-30.008); and

(e) The agency determines, based on the requirements analysis, determination of system/item life, and analysis of alternatives, that award based on lowest offered purchase price is consistent with the lowest overall cost policy objective. (See §§ 201-30.007, 201-30.008, and 201-30.009.)

[FIRMR Amdt. 4, 50 FR 27156, July 1, 1985]

Subpart 201-24.3—Telecommunication Acquisition Policies

§ 201-24.300 Scope of subpart.

This subpart prescribes policies and procedures (in addition to those in Subpart 201-24.1) that have application to the acquisition of telecommunication resources.

§ 201-24.301 Authority to acquire telecommunication resources.

See § 201-38.014.

§§ 201-24.302—201-24.304 [Reserved]

§ 201-24.305 Comparative cost analysis.

When adjusting the system life cost to the present value of money, the present value is computed by using the discount rate prescribed by OMB Circular A-94 or a higher rate as determined by the procuring agency. The higher rate, if used, is to reflect the agency's desired rate of return to assure the optimal allocation of its limited funds.

[FIRMR Amdt. 4, 50 FR 27156, July 1, 1985]

PART 201-25—[RESERVED]

PART 201-26—REPORTING REQUIREMENTS

Sec.

201-26.000 Scope of part.

Subpart 201-26.1—Integrated Reporting Requirements

201-26.100 Scope of subpart.

Subpart 201-26.2—Automatic Data Processing Equipment Data System (ADPE/DS)

201-26.200 Scope of subpart.
201-26.201 Effect on other directives.
201-26.202 Policy intent.
201-26.203 Applicability.
201-26.204 Policies and procedures.
201-26.205 Responsibilities.
201-26.206 Reporting requirement.

AUTHORITY: Sec. 205(c), 63, Stat. 390; 40 U.S.C. 486(c).

SOURCE: FIRMR Amdt. 1, 50 FR 4370, Jan. 30, 1985, unless otherwise noted.

§ 201-26.000 Scope of part.

This part provides (a) in Subpart 201-26.1, a listing of reporting or data submission requirements described elsewhere in the FIRMR which are integrated with other regulatory provisions regarding specific functional activities or specific subjects and (b) in the other subparts of this Part 201-26, specific reporting requirements that are not described elsewhere in the FIRMR. The intent is to provide a convenient means to assist FIRMR users and information activities officials in managing reporting requirements.

Subpart 201-26.1—Integrated Reporting Requirements

§ 201-26.100 Scope of subpart.

This subpart lists reporting and submission requirements that are integrated with the regulatory provisions of the various functional areas or activities addressed elsewhere in the FIRMR. [Listings reserved]

Subpart 201-26.2—Automatic Data Processing Equipment Data System (ADPE/DS)

SOURCE: FIRMR Amdt. 4, 50 FR 27156, July 1, 1985, unless otherwise noted.

§ 201-26.200 Scope of subpart.

This subpart sets forth the policy and criteria for the maintenance of an Automatic Data Processing Equipment Data System (ADPE/DS) by Federal agencies.

§ 201-26.201 Effect on other directives.

This subpart supersedes the reporting requirements under the ADP Management Information System (ADP/MIS) established by Office of Management and Budget (OMB) Circular A-83, October 5, 1971, superseded by Federal Management Circular 74-2, February 25, 1974, superseded by FPMR Amendment F-31, June 1978, superseded by FPMR Temp. Reg. F-500, August 30, 1983.

§ 201-26.202 Policy intent.

This subpart establishes the requirement for developing, operating, and maintaining an ADPE/DS for ADP equipment systems to assist the Office of Management and Budget (OMB), the General Services Administration (GSA), and other Federal agencies in carrying out their management responsibilities for the most effective and efficient use of ADPE. Agencies may supplement the data system to provide for their individual needs.

§ 201-26.203 Applicability.

(a) *Applicability.* The provisions of this subpart are applicable to all Federal agencies (as defined in § 201-2.001) having organizations (referred to herein as ADP units as defined in § 201-2.001) that use ADP equipment systems.

(b) *Exemptions:* The following are exempt from the reporting requirements of this subpart:

(1) Punched card machines, modems, and terminals;

(2) Analog computer systems even though a part of a hybrid system (The digital equipment system portion of the hybrid computer system is not exempt.);

(3) ADP equipment systems that are both integral to a combat weapon or space system and built or modified to special Government design;

(4) Totally Government-owned ADP equipment systems when the aggregate purchase price does not exceed $50,000;

(5) ADP equipment systems that are partially Government-owned and partially leased, when the total purchase price of the Government-owned components does not exceed $50,000, and the total lease charges for the leased components do not exceed $1,667 per month; and

(6) Leased ADP equipment systems when the monthly lease charges for the total configuration do not exceed $1,667.

§ 201-26.204 Policies and procedures.

(a) *Objective.* The ADPE/DS will provide inventory data on applicable ADPE that will:

(1) Facilitate the management of ADPE resources by Federal agencies;

(2) Facilitate the identification and replacement of obsolescent ADPE;

(3) Assist OMB, GSA, Office of Personnel Management, and the Department of Commerce in carrying out their specific Governmentwide responsibilities relating to ADP as delineated in OMB Circular A-71, Subject: "Responsibilities for the Administration and Management of Automatic Data Processing Activities"; and

(4) Provide for future development of additional data subsystems that may become a part of the ADPE/DS or may be separate elements in an overall ADP management information system. This future development, as the need arises, would be under the direction of GSA's Office of Information Resources Management with participation of involved agencies.

(b) *ADPE/DS structure.* The ADPE/DS will be composed of the major data elements listed below. Elements 1 through 6 are the System record—Level I; elements 7 through 13 are the Component record—Level II.

(1) Agency and subagency code (4 position code) as specified by Federal Information Processing Standard Publication 95 which identifies the agency and the subagency;

(2) Agency ADP unit code (4 position code) used to uniquely identify the ADP unit within the subagency (will automatically generate the full address of the ADP unit as well as the organizational title (abbreviated to no more than 25 positions) and telephone number for the contract at the ADP unit);

(3) System identification (2 position code assigned for each installed ADPE system at an ADP unit), and manufacturer's code (3) position code assigned to each manufacturer), and the system designation number as established by the manufacturer (seven position code);

(4) Acquisition date (4 position code) showing year and month of original acquisition in the Federal inventory;

(5) Fiscal year of expiration of planned system life (2 position code) (See § 201-30.008 and definition of system/item life in § 201-2.001);

(6) Fiscal year of next planned major replacement upgrade or augmentation (2 position code) with asso-

ciated year of expiration of extended (if any) system life (2 position code);

(7) Agency ADP Unit Code—Repeat of (1) and (2) above;

(8) Component class (2 position code) represented in each system;

(9) Component ownership code (1 position code)—either (i) agency owned, (ii) straight lease, (iii) lease with option to purchase (LWOP), (iv) special lease plans, e.g., lease to ownership plan (LTOP), lease with title transfer plan, installment purchase plan (IPP), or alternate payment plan (APP), or (v) ADP Fund leased;

(10) Component designation by manufacturer/type/model (11 position code);

(11) Quantity of components in each ownership code (3 position code);

(12) Component cost in reported system—Most recent purchase price in hundreds of dollars (6 position code) and/or most recent monthly rental price in hundreds of dollars including maintenance (4 position code);

(13) Utilization percentage (2 position code) average for each ADP Fund leased item.

NOTE: The system composition and cost will be calculated from the component data.

§ 201-26.205 Responsibilities.

(a) The Office of Information Resources Management, GSA is responsible for:

(1) Developing and issuing the necessary reporting procedures for carrying out the provisions of this subpart relating to ADPE/DS;

(2) Establishing the equipment inventory on a perpetual basis;

(3) Maintaining subsystems that may be part of the data base;

(4) Responding to requests from agencies and others for data from the data base; and

(5) Developing and/or participating in the development of reporting subsystems.

(b) Federal agencies are responsible for:

(1) Developing internal implementing instructions to carry out the objectives of this subpart;

(2) Furnishing the necessary data on an accurate and timely basis to comply with this subpart;

(3) Ensuring the use of these data to improve management practices; and

(4) Recommending such changes, additions, or deletions to the ADPE/DS as they deem necessary to improve the effectiveness of the system.

§ 201-26.206 Reporting requirements.

(a) *Initial reporting.* During the last week of September 1983, GSA (KHEE) will convert the current ADP/MIS data base to the new ADPE/DS data base. Hard copy will be provided to each of the Government agencies for verification and annotation of the new data elements. Verified and annotated copy shall be completed and returned to GSA within forty-five days of its receipt.

(b) *Regular reporting.* Agency updates to the data base shall be submitted thereafter at the end of each calendar quarter. Agency data shall be forwarded, in accordance with the instructions contained in a GSA Handbook that will supplement this subpart, addressed to: General Services Administration (KHFE), Washington, DC 20405.

(c) *Special reporting.* GSA reserves the right to require Government agencies to submit special reports as to the quantities, kinds, and locations of computers acquired below the dollar thresholds stated in § 201-26.203(b) (4), (5), and (6) during a particular period with the reporting details and format to be specified at the time of call. At least 60 calendar days will be provided for agencies to respond. Submissions will not be required more often than once per year.

(d) *Consolidation.* Agencies may provide both regular and special reports on either a centralized or decentralized basis.

(e) *Reports control.* This report has been cleared in accordance with FPMR 101-11.11[1] and assigned interagency report control number 0312-GSA-QU.

PARTS 201-27—201-29 [RESERVED]

[1] EDITORIAL NOTE: 41 CFR Part 101-11 was recodified and reissued in Parts 201-22 and 201-45 at 50 FR 26908, June 28, 1985.

SUBCHAPTER D—INFORMATION RESOURCES OPERATIONS

PART 201-30—MANAGEMENT OF ADP RESOURCES

Sec.
201-30.000 Scope of part.
201-30.001 General. [Reserved]
201-30.002 Planning.
201-30.003 Controlling and reviewing.
201-30.004 Privacy.
201-30.005 Security.
201-30.006 Standards.
201-30.007 Determination of need and requirements analysis.
201-30.007-1 Records management factors.
201-30.008 Determination of system/item life.
201-30.009 Analysis of alternatives for satisfying a requirement.
201-30.009-1 Analysis for low value acquisitions.
201-30.009-2 Analysis for obsolescence.
201-30.009-3 Establishing compatibility limited requirements.
201-30.010 Sharing.
201-30.011 Reuse of ADP equipment.
201-30.012 Conversion planning and management responsibilities.
201-30.012-1 Software conversion studies.
201-30.012-2 Determination of conversion costs.
201-30.013 Specifications.
201-30.013-1 Use of functional specifications.
201-30.013-2 [Reserved]
201-30.013-3 Capability and performance validation considerations for ADP equipment systems.
201-30.013-4 Capability and performance validation considerations for ADP services.
201-30.014 Competition.
201-30.015 Delegation of procurement authority.
201-30.016 Acquisition policies.
201-30.017 Contracting.
201-30.018 GSA support programs.
201.30.018-1 Federal Computer Performance Evaluation and Simulation Center (FEDSIM).
201.30.018-2 Federal Conversion Support Center (FCSC).
201.30.018-3 Federal Software Testing Center (FSTC).

AUTHORITY: Sec. 205(c), 63 Stat. 390; 40 U.S.C. 486(c).

SOURCE: FIRMR Amdt. 1, 50 FR 4370, Jan. 30, 1985, unless otherwise noted.

§ 201-30.000 Scope of part.

This part prescribes policies and procedures for the management of automatic data processing (ADP) resources.

§ 201-30.001 General. [Reserved]

§ 201-30.002 Planning.

Agencies shall follow applicable provisions of Part 201-16 in the management of ADP resources.

§ 201-30.003 Controlling and reviewing. [Reserved]

§ 201-30.004 Privacy.

Agencies shall follow applicable provisions of Part 201-6 in the management of ADP resources.

§ 201-30.005 Security.

Agencies shall follow applicable provisions of Part 201-7 in the management of ADP resources.

§ 201-30.006 Standards.

Agencies shall follow applicable provisions of Part 201-8 in the management of ADP resources.

§ 201-30.007 Determination of need and requirements analysis.

(a) The acquisition of new or additional information processing resources shall be based on mission needs. These needs shall be specified in a manner designed to achieve the full and open competition objective for the procurement, with due regard to the nature of the property and services to be acquired. These needs shall be expressed in the form of deficiencies in existing capabilities, new or changed program requirements, or opportunities for increased economy and efficiency. In any event, and as required by § 201-20.003, the needs shall be supported by a requirements analysis that is commensurate with the size and complexity of the need.

(b) Agencies may find it more cost effective to conduct requirements analyses based on aggregated requirements. Requirements may be aggregated on either organizational or functional bases. Aggregated requirements analysis may be used where the applications and work environments of the

individual requirements are homogeneous and where adequate workload measures and performance indicators are available. Individual requirements analyses are required when this is not the case.

(c) The needs and specific circumstances of the acquiring agency will determine how the requirements are specified. The types of specifications shall depend on the nature of the mission need and the market available to satisfy such needs. The range of specifications is described in § 201-30.013. Subject to such needs, the specification may be functional, equipment performance oriented, a combination of functional and equipment performance, plug-to-plug compatible, brand name or equal, or specific make and model. If any specification is used to describe a requirement that is available from only one responsible source, the provisions of § 201-11.002 apply. If the specification is based on a compatibility limited requirement, it must be justified as required by § 201-30.009-3. The use of a specific make and model specification must be justified as required by § 201-11.002-1.

(d) As a minimum, the agency shall consider the following factors in the requirements analysis:

(1) The information processing functions that must be performed.

(2) The agency applications, information resource systems, and components involved, their physical locations, and operational constraints.

(3) The problem that will be solved by acquiring new or additional equipment, systems and/or software.

(4) The nature of the data or information to be generated, transmitted, or stored on the proposed equipment or system, who will maintain it, and who will require access to it.

(5) The feasibility of sharing, using reassigned or excess Government-owned or -leased equipment, the offloading of lower priority applications, using Federal data processing centers and GSA sources of supply, using commercial ADP services, or if applicable, increasing the capability and productivity of the existing system.

(6) The probable improvement in operational effectiveness and the economies that will be realized from acquiring new or additional equipment, systems, and/or software.

(7) Space management considerations; e.g., heat dissipation, air flow, temperature range, relative humidity, energy conservation, power supply, cables, including coordination with building managers and GSA (See FPMR § 101-17.101-5.).

(8) The present and projected workload in terms of:

(i) Systems life;

(ii) Data entry and associated telecommunications support;

(iii) Data base(s) and data base management;

(iv) Data handling or transaction processing by type and volume;

(v) Output needs and associated telecommunications support;

(vi) Expandability requirements; and

(vii) Privacy and security safeguards.

(9) A performance evaluation of the currently installed ADP system(s) to provide a baseline for evaluation of proposed alternatives for meeting the data processing needs.

(10) The risks over the systems life of adverse impact on agency missions by acquiring insufficient ADPE capacity versus the extra costs of acquiring excessive ADPΣ capacity.

(11) The appropriate performance and capability validation techniques that should be employed in the acquisition.

[FIRMR Amdt. 4, 50 FR 27157, July 1, 1985; 50 FR 28208, July 11, 1985]

§ 201-30.007-1 Records management factors.

Agencies shall consider the following records management factors when performing a requirements analysis or designing an information system:

(a) Does the system design protect against the accidental destruction of records?

(b) Is there a records disposition schedule for the records being created by the equipment or system?

(c) Does the equipment or system use forms and, if so, have they been produced in accordance with the agency forms management program?

(d) Does the equipment or system produce reports subject to the agency reports control program?

[FIRMR Amdt. 4, 50 FR 27158, July 1, 1985]

§ 201-30.008 Determination of system/item life.

(a) Except as provided in paragraph (c) of this § 201-30.008, the Government system/item life shall be established by the initial acquiring agency as a part of each requirements analysis. This life shall be used in the evaluation to determine the lowest overall cost offer and whether purchase, lease to ownership, lease with option to purchase, or straight lease is the lowest cost method of acquisition for the Government. The following factors shall be considered in determining the Government system/item life:

(1) The period of time that the system/item, plus any planned augmentation, will satisfy the needs of the initial user (If augmentation other than those provided for in the initial acquisition are necessary, consideration should be given to establishing a new system/item life.);

(2) The rate at which technology is expected to advance;

(3) The probability that support will continue to be available beyond the period of intended use by the initial user. This support includes items such as maintenance, spare parts, software support, etc.; and

(4) The probability that the system/item in its ultimate planned configuration will be reused by another component within the agency or another Federal agency once the equipment no longer meets the needs of the initial user. The estimated number of months, if any, of contemplated use by a secondary user will be added to the initial user's requirement to determine the Government system/item life.

(b) If the acquiring agency cannot predict reuse, either within that agency or by another Federal agency, the initial user's system/item life shall be the Government system/item life.

(c) The determination of a system/item life is optional for a system/item with a purchase price of $25,000 or less when there is a reasonable certainty that purchase will be the most advantageous method of acquisition. However, if lease or rental plans are to be solicited, the determination of a system/item life is necessary to conduct a meaningful lease/purchase evaluation.

(d) Agencies shall consider subsequent procurement when establishing system/item lives. The system/item life duration for the requirements available from only one responsible source or for requirements with unusual and compelling urgency shall be held to the minimum practicable time. The justification for other than full and open competition shall be used to manage and plan for full and open competition in any subsequent procurement. Agency information resources managers and contracting officers both have responsibility for management and planning actions necessary to foster full and open competitive conditions for subsequent procurements. When applicable, an acquisition plan (see FAR Part 7) showing the major milestones for completing a follow-on full and open competitive procurement shall be prepared.

[FIRMR Amdt. 1, 50 FR 4370, Jan. 30, 1985, as amended by FIRMR Amdt. 4, 50 FR 27158, July 1, 1985]

§ 201-30.009 Analysis of alternatives for satisfying a requirement.

(a) A comparative cost analysis shall be performed for each identified requirement or when planning (see § 201-16.002) indicates the possible existence of outdated ADPE. The purpose of the analysis is to determine which alternative will meet the user's needs at the lowest overall cost over the system/item life. The alternatives to be considered shall include, but are not limited to the following:

(1) Use of non-ADP resources to satisfy the requirement.

(2) Use of existing ADP facilities (e.g., Federal Data Processing Centers) and resources on a shared basis. OMB Circular A-121 requires executive agencies to establish a management control procedure to determine which existing data processing facility will be used to support major new applications (see Part 201-31).

(3) Use of commercial ADP services.

(4) Redesign of application programs, using Federal or ANSI standard language to the maximum practicable extent.

(5) Revision of production schedule or job stream and matching work elements to resource systems to improve productivity.

(6) Addition or change in working shifts to increase capacity.

(7) Augmentation of installed ADPE by adding additional components to increase data processing capacity.

(8) Upgrading selected system components, such as adding additional selector channels, memory, faster tape or disk units, etc., in order to improve throughput capability.

(9) Replacing installed ADP system with a compatible system that will handle the workload.

(10) Competitive replacement of the installed ADP system through use of functional specifications.

(b) Where the analysis includes evaluation of the continued use of outdated ADPE, the analysis shall also evaluate the newer functionally-similar ADPE alternatives. Identifiable and quantifiable costs that are directly related to the costs of obsolescence (e.g., maintenance and operation, energy consumption, floor space, personnel, and other applicable factors) shall be considered (see § 201-30.009-2(a)).

[FIRMR Amdt. 4, 50 FR 27158, July 1, 1985, as amended by FIRMR Amdt. 7, 51 FR 9958, Mar. 24, 1986]

§ 201-30.009-1 Analysis of low value acquisitions.

When the anticipated value of the procurement is $50,000 or less, the comparative cost analysis may be limited to an analysis that demonstrates that the benefits of acquiring the proposed system/item will outweigh the costs. However, requirements shall not be fragmented to circumvent this threshold. (For example, if the total cost of the various components of a system exceed $50,000, they may not be acquired individually to avoid a comprehensive comparative cost analysis.)

[FIRMR Amdt. 4, 50 FR 27158, July 1, 1985]

§ 201-30.009-2 Analysis for obsolescence.

(a) An obsolescence review is a limited comparative cost analysis performed to determine whether total overall systems life cost savings are obtainable with newer ADPE technology, relative to operation of outdated ADPE (either the CPU or other components of the total mainframe ADP system). The analysis shall include (but not necessarily be limited to) consideration of the following items for both the existing outdated ADPE and the replacement ADPE as appropriate:

(1) System acquisition costs: Purchase price of replacement system or net lease cost of replacement system including emulators and simulators;

(2) System operating costs:

(i) Maintenance and operations costs (preventive maintenance and unscheduled downtime),

(ii) Energy cost (operating and cooling of central processing units (CPUs) and peripherals), and

(iii) Timesharing service to supplement capacity lost due to downtime;

(3) Hidden costs of equipment operation:

(i) Personnel (e.g., operators, programmers, and systems analysts) costs such as unscheduled personnel overtime and manual labor to replace normally automated functions, and

(ii) Floor space costs (CPUs, peripherals, and personnel);

(4) Auxiliary hardware costs:

(i) Uninterruptable power supplies,

(ii) Front end data communication processors,

(iii) Peripheral equipment controllers,

(iv) Communication adapters, and

(v) Hardware optimizers;

(5) Conversion cost, if applicable;

(6) Administrative costs of the acquisition process; and

(7) Present value of money (see § 201-24.208(b)).

(b) Agency ADP managers should give obsolescence reviews priority and should evaluate their ADPE resources for obsolescence regularly to determine whether the cost of operating outdated ADPE is greater than the cost of acquiring and operating technologically newer ADPE. Indicators of obsolescence include:

(1) Maintenance services or parts are becoming unavailable or are no longer provided by the original equipment manufacturer (OEM);

(2) An operating system is not or will no longer be supported by the OEM;

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(3) Records indicate a degradation in equipment reliability affecting the supported mission;

(4) Maintenance costs are accounting for an increasingly higher portion of overall operating costs;

(5) Energy consumption, including necessary environmental control, is relatively high; and

(6) Non-compatibility with recent and more cost-effective software enhancements, such as automatic documentation, date dictionaries, coding optimizers, and extensive software libraries.

(c) When the cost of operating outdated ADPE is greater than the cost of acquiring and operating technologically newer ADPE, agencies should replace the equipment as expeditiously as possible under the current competitive acquisition process.

[FIRMR Amdt. 7, 51 FR 9959, Mar. 24, 1986]

§ 201-30.009-3 Establishing compatibility limited requirements.

(a) A compatibility limited requirement shall be expressed in a type of specification (see § 201-30.013) that will serve to accomplish the full and open competition objective. When it is necessary to express a requirement in a specific make and model specification, special justification is required (see § 201-11.002-1).

(b) A statement of requirements to augment or replace existing ADP equipment or services that is limited to ADP equipment or services compatible with the existing operating system or with ADPE shall be—

(1) Supported by a software conversion study, if required (see § 201-30.012-1);

(2) Justified on the basis of agency mission-essential data processing requirements and economy and efficiency; and

(3) Meet the requirements of this § 201-30.009-3.

(c) The following factors shall be considered in determining whether the incorporation of compatibility limited requirements is justified for the augmentation or replacement acquisition:

(1) The essentiality of existing software, without redesign, to meet agency critical mission needs; e.g., the continuity of operations may be so critical that conversion is not a viable alternative.

(2) The additional risk associated with conversion if compatibility limited requirements are not used and the extent to which the Government would be injured, financially or otherwise, if the conversion to the new ADP system fails.

(3) The additional adverse impact of factors such as delay, lost economic opportunity, and less than optimum utilization of skilled professionals if compatibility limited requirements are not used.

(4) The steps being taken to foster competitive procedures in the augmentation or replacement acquisition (see § 201-30.012).

(5) The off-loading of selected applications programs to commercial data processing service facilities as an alternative to conversion.

(6) The continuation of ADP services for selected application programs with the present commercial ADP services contractor as an alternative to conversion of all programs in the present ADP resource system.

(7) The extent of essential parallel operations; i.e., the need to continue operation of the old system in parallel with the new system until the new system can fully support the mission needs.

(8) The feasibility of competing conversion requirements to be performed on a guaranteed basis under a solicitation that couples the conversion effort and ADP services in a single contract, including consideration of the basis for a calculation of liquidated-damages provisions for conversion performance failure.

(d) The findings that support the use of compatibility limited requirements shall be submitted with each agency procurement request (APR) under § 201-23.106-1 for an augmentation or replacement acquisition when the use of specifications incorporating compatibility limited requirements is contemplated.

(e) Provisions regarding solicitations for compatibility limited requirements are contained in § 201-24.207.

[FIRMR Amdt. 4, 50 FR 27159, July 1, 1985]

§ 201-30.010 Sharing.

Agencies shall follow applicable provisions of Part 201-31 in the management of ADP resources.

§ 201-30.011 Reuse of ADP equipment.

Agencies shall follow applicable provisions of Part 201-33 in the management of ADP resources.

§ 201-30.012 Conversion planning and management responsibilities.

Conversion from one computer architecture and operating system software to another is a recurring and costly activity. Frequently, moving a particular ADP system workload to a noncompatible ADP system is so costly that it is not a viable alternative. However, proper management of an agency's software inventory and planning for future conversions will reduce the risk and cost of conversion, enhance competition, and improve the efficiency of ADP operations.

(a) Federal ADP managers and contracting officers share the responsibility for ensuring that data processing requirements are met competitively at the lowest overall cost, price and other factors considered. This responsibility extends to those actions necessary to foster competition for subsequent competitive acquisitions. To achieve this objective, ADP managers shall take necessary action to minimize the cost of conversion to future replacement ADP systems. Although the configuration and date of acquisition of the replacement system may not be known, several steps can and should be taken to reduce both the risk and cost of conversion.

(b) The following are examples of management and planning actions that ADP managers should take to facilitate future conversions:

(1) Purge from the active inventory all software and data bases not essential to meet agency needs.

(2) Identify relevant characteristics of all application software; e.g., programming language, number of source statements or lines of code, type and size of records and data files, and security provisions.

(3) Use only software design and documentation techniques that minimize future software conversion to develop new application software.

(4) Use Federal standard or other American National Standards Institute (ANSI) standard higher level languages to the maximum practicable extent in developing all new user application software. Document agency files with the justification for using nonstandard languages at the time the waiver is granted.

(5) Avoid the use, where possible, of implementor-defined features and vendor-supplied nonstandard extensions in higher level language compilers. Where it is necessary to use these features and nonstandard extensions, document agency files to support their use and retain the documentation to manage the software during its system life.

(6) Use to the maximum practicable extent data base management systems (DBMS) supported by, and that will run on, equipment offered by multiple manufacturers of different product lines of ADPE (i.e., other than plug-to-plug compatible equipment) or designed to conform to the Conference on Data Systems Languages (CODASYL) specifications. Where it is not possible to use such a DBMS, document agency files to support this decision and retain the documentation to manage the DMBS during its system life.

(7) Write application software requiring software redesign in Federal standard or other ANSI standard higher level languages, unless the use of assembly or other languages is clearly justified on the basis of operational requirements or demonstrable economy and efficiency. Document agency files with the justification for using nonstandard languages at the time the waiver is granted and retain the documentation to manage the application software during its system life.

(8) Rewrite application software written in assembly or other nonstandard languages but not requiring redesign in Federal standard or other ANSI standard higher level languages to foster competition for subsequent competitive acquisitions.

(9) Review, revise, and update as necessary documentation for all exist-

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ing applications to reduce the risk and cost of future conversions.

(10) Evaluate all feasible alternative courses of action for meeting agency data processing needs before ADPE is acquired on a sole source, specific make and model, or compatible basis, since these types of specifications tend to limit the number of responsible sources that can satisfy the requirement.

(c) The useful life of application software is limited by changes in data processing requirements, operating system software, and equipment technology. Generally, the life expectancy of this software, without redesign or reprogramming, is in the range of 5 to 10 years. Accordingly, the updating of application software for these reasons must be reckoned with, regardless of whether these programs are converted from one ADP system architecture to another. These technology-updating activities should be identified and managed separately from coversion activities.

[FIRMR Amdt. 1, 50 FR 4370, Jan. 30, 1985, as amended by FIRMR Amdt. 4, 50 FR 27159, July 1, 1985]

§ 201-30.012-1 Software conversion studies.

(a) Software conversion studies shall be performed for all acquisitions to ensure that the user's needs are met competitively at the lowest overall cost, price and other factors considered, including the cost and other factors associated with coversion activities. The provisions of § 201-30.012-2 apply. However, a software conversion study is not required when one of the three following conditions exist—

(1) Initial acquisition where no software exists;

(2) Contracting for computer peripherals only; or

(3) Exercise of purchase option under a leasing agreement.

(b) Studies for acquisitions below the thresholds stated in paragraph (c) of this § 201-30.012-1 shall be based on Government estimates determined in accordance with agency procedures. The acquisition file shall be documented to record the estimates and the method of computation. The extent of the study will be based on the circumstances of the particular situation as determined by the agency.

(c)(1) A comprehensive software conversion study shall be made for each augmentation or replacement ADPE or ADP services acquisition when either of the following conditions exists—

(i) The estimated purchase price of the equipment system or estimated system life cost of the ADP services is expected to exceed $2.5 million; or

(ii) The cost of conversion is to be used as the primary justification for a compatibility-limited requirement when the estimated value of the acquisition exceeds $300,000.

(2) A comprehensive software conversion study means an analysis of a conversion requirement that as a minimum includes the following:

(i) Problem definition.

(ii) Inventory of system components for the current system.

(iii) Description of the operating system environment.

(iv) Inventory of application programs and data files to be converted.

(v) Alternative acquisition approaches (including compatible and noncompatible requirements, as appropriate) with time schedules for both the contracting and conversion effort.

(vi) General description of the target environment including hardware and system software, performance requirements, and constraints or limitations, dictated by the user needs, on the functional definition of the requirement.

(vii) Recommended approach to accomplish the conversion tasks including analyses of alternative approaches with an economic and benefit analysis for each approach.

(viii) Specific agency actions to be taken to reduce the cost and risk of future conversions.

(3) An agency may elect to conduct its own comprehensive software conversion study, use contractual resources to accomplish the study, or request the GSA Federal Conversion Support Center (FCSC) to perform the study.

(d) All software conversion studies shall be maintained in agency files and be available for GSA review at the

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time the agency submits an agency procurement request (APR) to GSA.

[FIRMR Amdt. 1, 50 FR 4370, Jan. 30, 1985, as amended by FIRMR Amdt. 4, 50 FR 27159, July 1, 1985]

§ 201-30.012-2 Determination of conversion costs.

(a) Costs directly related to the conversion from the installed ADPE, software, data bases, files, and telecommunications software to the replacement system and project management costs shall include, but are not limited to the following:

(1) Conversion of the following software by reprogramming, recoding, or translation:

(i) Existing software written in Federal standard or other ANSI standard higher level language.

(ii) Application software written in assembly or other nonstandard languages that will continue to meet essential agency mission needs without redesign, provided the continued use of the nonstandard software can be justified and the file is documented with the justification prior to incorporating into the software conversion study.

(iii) Mission-essential application software to be developed for operational use before the augmentation or replacement ADPE and operating system software is installed (or before commercial ADP services are acquired), provided the software is written in Federal standard or other ANSI standard higher level languages.

(2) Conversion of data bases, data base design changes, and DBMS systems to the extent necessary to permit the continued use of existing application software.

(3) Firmware required solely to permit the continued use of application software.

(4) Site preparation and modifications to installed environmental controls.

(5) Parallel operation of the old system during the conversion process, including offsite data processing support.

(6) Travel and training expenses, including pay and fringe benefits of Government employees during attendance at formal classroom training courses.

(7) Other general or user expenses directly related to the conversion effort; e.g., conversion planning, preparation, and management; supplies; and any additional general-purpose software required to support the conversion.

(b) The costs incurred for the redesign of application software in technology updating are not bona fide conversion costs, and they shall not be evaluated for the purpose of determining the lowest total overall cost offer/bid. These technology updating costs include:

(1) The conversion of existing software and data bases which are to be redesigned;

(2) Purging duplicate or obsolete software, data bases, and files;

(3) Development of documentation for existing application software; and

(4) Improvements in management and operating procedures.

(c) Standard cost factors, such as those contained in the OMB Cost Comparison Handbook (Supplement No. 1 to OMB Circular A-76), shall be used to the maximum practicable extent in preparing conversion cost studies and estimates. These cost factors may be supplemented by industry- or agency-developed cost factors, as necessary.

§ 201-30.013 Specifications.

(a) Agencies shall design ADP specifications describing Government requirements to obtain full and open competition from all responsible sources (including manufacturers, leasing companies, third-party vendors, and ADP service contractors) with due regard to the nature of the property or services to be acquired. The type of specification included in a solicitation shall depend on the nature of the agency needs. Functional specifications maximize competition. If functional specifications cannot be used, other types of specifications shall be used in the following order of precedence:

(1) Equipment performance specifications.

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(2) Software and equipment plug-to-plug compatible functionally equivalent specifications.

(3) Brand name or equal specifications.

(4) Specific make and model specifications.

(b) Specific make and model type specifications restrict competition. Use of this type of specification must be justified (see § 201-11.002-1).

[FIRMR Amdt. 4, 50 FR 27159, July 1, 1985]

§ 201-30.013-1 Use of functional specifications.

Specifications shall be developed in such a manner as is necessary to maximize, and not limit, competition. Due regard to the nature of the property or services to be acquired may require the use of restrictive provisions or conditions, but only to the extent necessary to satisfy the needs of the agency. Functional specifications are the preferred method of expressing the user's requirements in solicitation documents. The functional specification may be augmented with equipment characteristics and elements of performance when necessary to reflect the user's needs.

[FIRMR Amdt. 4, 50 FR 27159, July 1, 1985]

§ 201-30.013-2 [Reserved]

§ 201-30.013-3 Capability and performance validation considerations for ADP equipment systems.

(a) *Capability validation.* (1) Capability validation (defined in Part 201-2) can sometimes be reasonably determined by examination of technical specifications and associated technical literature. In some cases specific technical questions regarding particular points can be posed. Verification of conformance with pertinent Federal standards may be applicable. Operational capability demonstrations of certain functions may be required. However, validating functional capabilities in some orderly, structured fashion can rarely serve as a representative workload test of the performance of an ADP equipment system (see paragraph (b) of this § 201-30.013-3).

(2) Agency ADP managers shall take appropriate action to analyze needs and ADP requirements as necessary to identify and specify capability validation requirements in specifications. The objective of the specified capability validation requirements shall be to technically verify that offered ADP equipment and software can provide mandatory requirements or evaluated optional features. Capability validation requirements including Operational Capability Demonstrations (OCDs) shall not be used to replace required performance validation techniques.

(b) *Performance validation.* (1) Performance validation (defined in Part 201-2) is subject to the quality and completeness of the workload analysis and projections, inherent limitations of the various techniques, accuracy of the results, and the cost and time associated with the proper use of the selected technique. These factors can be analyzed relative to the risks and costs of not acquiring appropriate ADP capacity to meet workload requirements and the need for objectiveness and fairness in the selection process. However, dollar value thresholds of purchase or system life costs can not be consistently related to selection of performance validation techniques, nor should they be the sole criterion for selecting a technique. Necessary restrictions in requirements, e.g., compatibility-limited or sole source requirements, can also effect the selection of the performance validation technique. Benchmarking is the most precise of all the alternatives for validating performance; however its accuracy is no better than the workload analysis it is based upon. In any case, if properly constructed, no other performance validation technique is more accurate than benchmarking.

(2) Agency ADP managers shall take appropriate action to analyze program needs and ADP requirements necessary to identify and specify performance validation requirements in specifications. The selection of performance evaluation techniques shall be commensurate with the risks associated with program impacts related to potentially inappropriate or insufficient ADP capacity. Present and forecasted

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ADP workloads, anticipated system life costs, validation costs to the Government and offerors, and objectiveness and fairness in the acquisition process shall be considered.

(c) *Technical assistance.* Technical assistance, support, and service for simulation, analysis, and performance evaluation of ADP systems is described at § 201-34.002-1.

[FIRMR Amdt. 2, 50 FR 26366, June 26, 1985]

§ 201-30.013-4 Capability and performance validation considerations for ADP services.

Agencies shall follow applicable provisions in § 201-32.303-3 when acquiring ADP services. In addition, the Teleprocessing Services Program (TSP) Handbook provides guidance to agencies on validating ADP services.

[FIRMR Amdt. 2, 50 FR 26366, June 26, 1985]

§ 201-30.014 Competition.

Agencies shall follow applicable provisions of Part 201-11 in the management of ADP resources.

§ 201-30.015 Delegation of procurement authority.

Agencies shall follow applicable provisions of Part 201-23 in the management of ADP resources.

§ 201-30.016 Acquisition policies.

Agencies shall follow applicable provisions of Part 201-24 in the management of ADP resources.

§ 201-30.017 Contracting.

Agencies shall follow applicable provisions of Part 201-32 in the management of ADP resources.

§ 201-30.018 GSA support programs.

§ 201-30.018-1 Federal Computer Performance Evaluation and Simulation Center (FEDSIM).

The Federal Computer Performance Evaluation and Simulation Center provides technical assistance, support, and services on a reimbursable basis to Federal agencies for simulation, analysis, and performance evaluation of ADP systems. FEDSIM shall be considered as a source of supply for these services. It is operated by the Department of the Air Force under delegation from GSA. See § 201-34.002-1 for applicable provisions. Agencies should contact the FEDSIM for further information, telephone (703) 274-8065.

§ 201-30.018-2 Federal Conversion Support Center (FCSC).

The Federal Conversion Support Center is the primary resource for software conversion technology within the Federal Government. It is operated by GSA to provide Federal agencies with specialized technical and contracting expertise, techniques, and tools to plan conversion studies and accomplish software conversions. It provides these services to Federal activities on a reimbursable basis. Agencies should contact the FCSC for further information, telephone (703) 756-6156 or FTS, 756-6156. Address: General Services Administration, Federal Conversion Support Center, 5203 Leesburg Pike, Suite 1100, Falls Church, VA 22041.

§ 201-30.018-3 Federal Software Testing Center (FSTC).

The Federal Software Testing Center validates compilers which are acquired by or are utilized in the performance of ADP services in the Federal Government. It is operated by GSA. The validation tests determine whether the compiler being tested implements the elements of the Federal processing standard language to which the compiler relates (see § 201-8.109). Agencies should contact the FSTC for further information, telephone (703) 756-6153 or FTS, 756-6153. Address: General Services Administration, Federal Software Testing Center, 5203 Leesburg Pike, Suite 1100, Falls Church, VA 22041.

PART 201-31—SHARING OF ADP RESOURCES

Sec.

201-31.000 Scope of part.
201-31.001 Relationship to management policy.
201-31.002 ADP sharing considerations.

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Sec.

201-31.003 Government-wide ADP sharing.
201-31.004 ADP sharing procedures.
201-31.005 ADP sharing exceptions and exemptions.
201-31.006 Reporting of sharing and services obtained from a commercial source.
201-31.007—201-31.009 [Reserved]
201-31.010 Federal Data Processing Centers (FDPCs).
201-31.010-1 General.
201-31.010-2 Services available from FDPCs.
201-31.010-3 Points of contact.
201-31.010-4 Federal Computer Performance Evaluation and Simulation Center (FEDSIM).
201-31.011 [Reserved]
201-31.012 ADP collocation and consolidation program.
201-31.012-1 Objectives.
201-31.012-2 Intra-agency collocation or consolidation actions.
201-31.012-3 Interagency collocation or consolidation actions.
201-31.012-4 Action when mutual agreement is not reached.
201-31.012-5 Implementation of a decision to collocate or consolidate.
201-31.012-6 Review of a collocated or consolidated facility.
201-31.013 [Reserved]
201-31.014 Federal Software Exchange Program.
201-31.014-1 Common-use Software.
201-31.014-2 Program operation and policy guidance.
201-31.014-3 Program objectives.
201-31.014-4 Services performed by the Federal Software Exchange Center.
201-31.014-5 Agency actions.
201-31.014-6 Arrangements and guidelines for use of the Federal Software Exchange Program.
201-31.014-7 Effect on the software acquisition process.
201-31.014-8 Forms availability.
201-31.014-9 Federal Software Exchange Catalog availability.
201-31.014-10 Federal Software Exchange Program review.
201-31.014-11 Assistance by GSA.

AUTHORITY: Sec. 205(c), 63 Stat. 390; 40 U.S.C. 486(c).

SOURCE: FIRMR Amdt. 1, 50 FR 4373, Jan. 30, 1985, unless otherwise noted.

§ 201-31.000 Scope of part.

This part prescribes policies and procedures for the sharing of ADP resources.

§ 201-31.001 Relationship to management policy.

As provided in § 201-20.006, agencies are required to consider sharing and use of existing ADP resources as an economical and efficient means of meeting their ADP needs.

§ 201-31.002 ADP sharing considerations.

(a) *General.* The growth of ADP in the Government has increased sharing opportunities. Sharing these resources may be the most economical and efficient means to satisfy an ADP requirement, but is seldom a substitute for fundamental ADP capabilities needed by an agency. However, several factors tend to diminish the realization of the economic and efficiency potentials in sharing. These factors include increasing complexities of setting up on another data processing facility (even when the facility has the same versions of the same software), better and cheaper micro and mini computer alternatives, availability of GSA's Teleprocessing Services Program for commercial ADP services, entry of many new time sharing vendors into the Government marketplace, and requirements for security and Privacy Act safeguards. Some data processing facilities, e.g., Federal Data Processing Centers, have a primary mission responsibility of providing ADP services and ADP support services. These facilities are generally characterized by good documentation, a wide range of software, a user assistance staff, and full cost accounting. These services may not be readily available to prospective users if the facility is not routinely sharing its resources.

(b) *Requirement considerations.* Sharing may present a viable alternative for agencies who (1) need greater capacity, (2) want to evaluate expensive software or equipment configurations before acquisition (3) have insufficient ADP requirements to justify a separate facility. Applications such as financial management, statistics, engineering, and mathematics are often good sharing candidates. Applications such as command and control systems, intelligence and law enforcement systems, and systems with special securi-

ty requirements are often not good sharing candidates.

(c) *Facility considerations.* The workload orientation of a facility may severely limit its potential for sharing. This can be true for facilities (1) which have acute privacy or security implications (e.g., certain IRS, VA, Defense, or SSA facilities), (2) which have special opportunities for fraud (e.g., funds transfer and treasury check disbursing systems), (3) which are dedicated to a single function (e.g., military logistics or weather), and (4) which have been reviewed and determined to be obsolescent.

(d) *Sharing as resource justification.* As provided in OMB Circular A-121, sharing arrangements can be used by the agency providing services in justifications to OMB for resource requests and allocations only in such cases where exceptional circumstances preclude the user agency from using alternative sources. However, the unfunded portion of planned reimbursements arising from equipment and software depreciation may be used for the replacement and augmentation of ADP capital assets provided such usage is in accordance with A-121 provisions.

[FIRMR Amdt. 4, 50 FR 27159, July 1, 1985]

§ 201-31.003 Government-wide ADP sharing.

(a) Federal agencies shall be responsible for determining whether their ADP requirements can be efficiently and economically satisfied by using existing resources. OMB Circular A-121, subject: Cost Accounting Cost Recovery and Interagency Sharing, dated September 16, 1980, specifically paragraph 4f, applies.

(b) Federal agencies shall be responsible for determining to what extent their ADP resource systems will be made available to users (see also OMB Circular A-121, paragraph 4a).

(c) Agencies seeking sharing facilities will identify and deal directly with those facilities. Since sharing is a viable alternative for only a portion of ADP requirements (see § 201-31.002), agency procedures for making these determinations shall be oriented toward potential sources of sharing support rather than an exhaustive review of all Federal facilities.

(d) Management officials of agencies who have an interest in sharing their facilities should participate in informal interagency sharing groups. These groups should exchange information concerning the minimum capabilities of their facilities in order to identify their salient characteristics to the potential user, e.g., documentation, user assistance, capabilities, prices, duration, bumping, or termination terms.

(e) GSA will facilitate use of existing resources by issuing bulletins from time to time containing information concerning sharing opportunities. GSA will assist in the search for sharing opportunities as needed in time of national emergency or public exigency. Upon request to the parties concerned, GSA will arbitrate disputes concerning prices and services between agencies. Requests may be directed to General Services Administration (KMA), Washington, DC 20405.

(f) GSA will foster the establishment of Federal Data Processing Centers where opportunities and needs for economical and efficient service exist (see § 201-31.010-1).

[FIRMR Amdt. 4, 50 FR 27160, July 1, 1985; 50 FR 28208, July 11, 1985]

§ 201-31.004 ADP sharing procedures.

(a) A Federal agency shall not initiate the process of selecting and acquiring ADP resources unless it first makes reasonable efforts to determine that the required ADP capability cannot be met economically and efficiently by using existing ADP resources on a shared, reimbursable basis.

(b) When it is determined that existing resources are capable of meeting an agency's requirement, the agency shall consider this alternative as part of the analysis (see § 201-30.009).

(c) Federal agencies shall first attempt to satisfy their ADP requirements by selectively screening resources of other ADP units in their agency and in other agencies. If the result of screening "targets of opportunity" is unsuccessful, the basis for this determination shall be documented.

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(d) Federal agencies are required to include a statement relative to this screening procedure when submitting agency procurement requests (see § 201-23.106).

(e) Sharing of excess data processing capacity by Executive agencies with users from other agencies shall be consistent with the provisions of OMB Circular A-121.

[FIRMR Amdt. 4, 50 FR 27160, July 1, 1985]

§ 201-31.005 ADP sharing exceptions and exemptions.

(a) Agencies should try to share their ADP resources. However, agencies need not share a system if it does not lend itself to sharing because of the uniqueness of a particular program or mission, or because of the design of the system (see § 201-31.002).

(b) In addition, the following ADP resources are exempt from the requirements for sharing:

(1) ADPE built or modified to special Government design specifications which has no general purpose applicability and is integral to a weapons or space system;

(2) Analog computers; and

(3) ADPE maintenance services.

[FIRMR Amdt. 4, 50 FR 27160, July 1, 1985]

§ 201-31.006 Reporting of sharing and services obtained from a commercial source.

(a) *Sharing.* (1) ADP sharing (as defined in § 201-2.001) accomplished by data processing facilities (as defined in § 201-2.001) shall be reported by each facility if the total dollar amount charged by a facility to users (as defined in § 201-2.001) other than those which the facility has primary responsibility for supporting exceeds $100,000 during a fiscal year.

(2) Reports of sharing shall be submitted on GSA Form 2068A to the General Services Administration (KHE), Washington, DC 20405, not later than 60 days (November 30) after the close of the fiscal year. Federal agencies may elect to submit reports on a centralized basis at any organization level desired. Each agency shall advise GSA (KHE) of the procedures it will follow:

(b) *Services obtained from a commercial source.* (1) ADP services and ADP support services (as defined in § 201-2.001) shall be reported by each user (as defined in § 201-2.001) on a call basis specified by GSA (KM), Washington, DC 20405.

(2) Reports of ADP services and ADP support services, to the extent specified in each call, shall be submitted on GSA Form 2068A or other format as requested, to the GSA address specified. At least 60 days will be provided for agencies to respond. Submissions will not be required more often than once per year. Agencies may provide the reports on a centralized basis at any organizational level desired.

(c) *Reports Control.* Intergency reports control number 1106-GSA-AN (currently assigned expiration date: March 31, 1985) has been assigned to this reporting requirement.

[FIRMR Amdt. 4, 50 FR 27160, July 1, 1985]

§§ 201-31.007—201-31.009 [Reserved]

§ 201-31.010 Federal Data Processing Centers (FDPCs).

§ 201-31.010-1 General.

An FDPC may be established if feasibility studies indicate that one is needed. GSA-operated FDPCs are financed by the ADP Fund. FDPCs operated by other agencies under a delegation of authority may be, but are not necessarily, financed by the ADP Fund. In either instance, the FDPC and the requesting agency will arrange mutually satisfactory means, consistent with OMB Circular A-121, for reimbursing the FDPC for services rendered.

[FIRMR Amdt. 4, 50 FR 27161, July 1, 1985]

§ 201-31.010-2 Services available from FDPCs.

FDPCs provide many ADP services and ADP support services. GSA, through informational bulletins, will announce the availability of specific services and associated costs.

[FIRMR Amdt. 4, 50 FR 27161, July 1, 1985]

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§ 201-31.010-3 Points of contact.

(a) Agencies that require any FDPC services that have not been provided through the procedures set forth in § 201-31.004 should contact General Services Administration (KMA), Washington, DC 20405 or the appropriate FDPC.

(b) Agencies desiring assistance in the performance of general systems studies, as defined in FPMR 101-11.1004, may request such assistance from the General Services Administration (KFM), Washington, DC 20405, telephone (202) 535-7443 or FTS, 535-7443.

[FIRMR Amdt. 1, 50 FR 4373, Jan. 30, 1985, as amended by FIRMR Amdt. 4, 50 FR 27161, July 1, 1985]

§ 201-31.010-4 Federal Computer Performance Evaluation and Simulation Center (FEDSIM).

Information concerning the Federal Computer Performance Evaluation and Simulation Center is contained in § 201-34.002-1.

§ 201-31.011 [Reserved]

§ 201-31.012 ADP collocation and consolidation program.

§ 201-31.012-1 Objectives.

The objectives of the ADP collocation and consolidation program are to reduce the cost, enhance the effectiveness, and improve the efficiency of Government data processing operations affected by this § 201-31.012-1 through—

(a) Reviewing the requirements for additional Government ADP units and satisfying the need for such requirements by using more fully the resources or units already in existence;

(b) Consolidating installations which are geographically separated by means of telecommunications networks; and

(c) Increasing utilization of the resources committed to Government data processing by replacing a number of installations with a FDPC or a joint-use facility.

§ 201-31.012-2 Intra-agency collocation or consolidation actions.

(a) Actions by Federal agencies shall include—

(1) Continually reviewing their internal ADP operations to determine whether optimum economy, effectiveness, and efficiency are being achieved;

(2) Conducting studies to ascertain whether the collocation or consolidation of their ADP facilities or resources would be economically advantageous, would improve program effectiveness, or would increase efficiency of operations (in this connection, the factors shown in § 201-31.012-3(f) may be applied);

(3) Implementing findings which indicate collocation or consolidation to be feasible; and

(4) Notifying GSA of the estimated starting and completion dates of an in-house collocation or consolidation study to preclude undertaking by GSA of a related interagency study.

(b) When requested by an agency to participate, GSA actions will include—

(1) Providing assistance in the conduct of a feasibility study;

(2) Giving advice on implementation of an agency's decision to collocate or consolidate; and

(3) Coordinating within GSA an APR resulting from an intra-agency collocation or consolidation action and expediting approval of that APR.

§ 201-31.012-3 Interagency collocation or consolidation actions.

Interagency collocation or consolidation possibilities shall be considered when two or more Federal agencies have or plan to have ADP facilities or resources in the same building or adjacent buildings that are under the control of GSA.

(a) *Exemptions.* An ADP facility which is located in a classified site or which has ADPE dedicated to the real-time control of a physical process is exempt from the provisions of this § 201-31.012-3.

(b) *Study group.* A study of the feasibility of an interagency collocation or consolidation shall be conducted by a study group chaired by GSA and composed of representatives from GSA and the affected agencies.

(c) *Initiation of a feasibility study.* An interagency collocation or consoli-

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dation feasibility study may be initiated as the result of—

(1) An agency's request for assistance made to the appropriate GSA regional office or to General Services Administration (KMA), Washington, DC 20405;

(2) An agency's application for space to house a new computer installation or a substantial amount of additional space for an existing computer installation;

(3) Preparations for making a prospectus for a new Federal building;

(4) Submission of an APR (see § 201-23.106) for a computer system; or

(5) An agency's recommendation that such a study be made.

(d) *Conducting a feasibility study.* (1) GSA will inform affected agencies of a proposal to initiate an interagency feasibility study. A date for the study to begin will then be set by mutual agreement.

(2) GSA and affected agencies shall assign personnel to the study group.

(3) Salaries and any travel expenses of the study participants shall be paid by the employing agency.

(4) Costs incidental to a study, such as costs of supplies and duplicating services, will be borne by GSA.

(5) To the extent that circumstances permit and are applicable, the study group will consider concurrently the requirements for hardware/software, space, and site preparation.

(e) *Effect on acquisition process.* If studies are to be made but contracting actions are already in process or an APR has been submitted, GSA and the affected agencies shall determine on the basis of time and other factors whether the acquisition should be allowed to proceed pending completion of the study. If it is determined to proceed or not to defer an action already in process, the processing shall continue to a point short of an award with the understanding that the requirement will be canceled if collocation or consolidation is determined to be feasible unless the acquisition is needed for the new facility. However, if the planned installation date of an acquisition will be reached before the projected completion date of a study, GSA will accelerate the study sufficiently to insure that installation of equipment will not be deferred.

(f) *Determining feasibility.* The following factors shall be considered by the study group in determining the feasibility of a proposed interagency collocation or consolidation action.

(1) Impact of a collocation or consolidation arrangement on the ability of agencies to effectively and efficiently accomplish their missions;

(2) Provision of services which are responsive to priority and security requirements of the affected agencies;

(3) Comparison of costs of the separate facilities with applicable costs of the proposed facility for space, site preparation, moving, ADP equipment, communications equipment and services, transportation, data security and handling, staffing, and any other factor considered by the study group to be pertinent; and

(4) Potential for cost avoidance through increased opportunities for sharing ADP resources and through use of centralized supply and maintenance services.

§ 201-31.012-4 Action when mutual agreement is not reached.

GSA and the affected agencies shall review the findings of the study group. In the absence of mutual agreement as to whether the findings indicate an interagency collocation or consolidation to be feasible, the dissenting agency shall be guided by the provisions of § 201-1.102-2(c).

§ 201-31.012-5 Implementation of a decision to collocate or consolidate.

(a) When a decision is made to establish an interagency collocated or consolidated ADP facility in GSA-controlled space, a task force shall be assembled to develop plans and provide for the implementation of the decision. GSA and each affected agency shall assign personnel to the task force.

(b) The task force shall submit implementing schedules, including schedules for needed interagency agreements, to GSA and to the affected agencies at the earliest possible time.

(c) GSA will provide the facilities required, including foreseeable expan-

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sion needs, to activate a collocated or consolidated facility.

(d) The provisions of the FIRMR shall apply to the acquisition of additional ADP hardware and related unbundled software needed to equip a collocated or consolidated facility. Acquisition shall be made by GSA or the affected agency through the transfer of excess property acquisition financed by the ADP Fund, and/or acquisition financed with appropriated funds of the affected agencies.

§ 201-31.012-6 Review of a collocated or consolidated facility.

(a) A review of an interagency collocated or consolidated facility shall be made after having been operational for a period of 12 months and annually thereafter if it is mutually considered by GSA and the affected agencies to be advisable. To the extent practicable, the review shall be made by the membership of the task force referred to in § 201-31.012-5.

(b) GSA or an affected agency may initiate a facility review. The initiating party shall notify the others of its opinion that a review appears to be in order and give the reasons therefor in writing. A mutually acceptable date shall then be set for beginning the review.

(c) If evaluation of the findings of a review discloses that no significant cost avoidance has been realized by the collocation or consolidation action, or that the efficiency of operations and/or the effectiveness of mission programs have been severely hampered or impaired, the services of the ADP facility may be discontinued or curtailed. In the event a decision is made to discontinue or curtail services, a date shall be agreed to by GSA and the affected agencies for cessation or limitation of services sufficiently in advance of the action to permit an orderly return to the previous operational status or to permit the development of alternative arrangements acceptable to all parties.

(d) In the instance of an intra-agency collocation or consolidation action taken under provisions of § 201-31.012-2, an agency may request GSA participation in a review and evaluation by contacting one of the offices identified in § 201-31.012-3(c)(1).

§ 201-31.013 [Reserved]

§ 201-31.014 Federal Software Exchange Program.

The Federal Software Exchange Program is administered by GSA's Federal Software Exchange Center (FSEC). The program promotes and administers the sharing of computer programs and related documentation. Common-use ADP software is reported by agencies to the FSEC. The FSEC facilitates the subsequent use of the information for Government-wide sharing of the software. No data files or data bases are included. No private or personal data will constitute any portion of the computer programs to be reported and exchanged by the FSEC. While the resources and aid of the FSEC will be extended to users in obtaining information concerning technical problems with software released through the FSEC, the ultimate responsibility for successful implementation of all programs rests with the user.

§ 201-31.014-1 Common-use software.

(a) The Federal Software Exchange Program is applicable to common-use software developed or revised by either Government or contractor personnel. It is not applicable to software that is classified, proprietary, or developed with revolving funds where reimbursement of all costs is required, such as the ADP Fund. It is not applicable to software to which the Government does not possess full rights of ownership.

(b) For the purpose of this § 201-31.014 common-use software is that which—

(1) Satisfies the definition in § 201-2.001, software term (k);

(2) Has been tested and proven operational for at least 90 days and is maintained by or for a Federal agency; and

(3) Is composed of stand-alone subroutines, programs, or subsystems; i.e., not dependent on special or unique hardware options or software features unless such options or features can be readily translated or simulated for

hardware other than the original and can be similarly useful on different hardware.

§ 201-31.014-2 Program operation and policy guidance.

The Federal Software Exchange Program is operated by GSA or its authorized representative pursuant to the overall policy guidance and direction of GSA.

§ 201-31.014-3 Program objectives.

The objectives of the Software Exchange Program are to provide for the—

(a) Collection of common-use software information.

(b) Development and maintenance of a listing of common-use software to minimize the redevelopment of programs already tested and in use elsewhere.

(c) Publication and distribution of a software exchange catalog containing abstracts of common-use software.

(d) Dissemination of common-use software and/or documentation.

(e) Reduction of overall costs, time, and use of personnel resources for software acquisition and/or development.

§ 201-31.014-4 Services performed by the Federal Software Exchange Center.

The functions of the Federal Software Exchange Center (FSEC) include—

(a) Maintaining a central library of summary descriptions of common-use programs and systems, including a complete index of this inventory and master copies of requested programs, systems, and documentation.

(b) Editing, screening, and compiling agency abstracts of common-use programs or systems submitted for exchange by Federal agencies.

(c) Functioning as a central point of contact with agencies for information and dissemination of available software.

(d) Publishing and distributing the basic Federal Software Exchange Catalog with periodic updates.

(e) Assisting Federal agencies in identifying currently available software to satisfy their requirements.

(f) Assisting agencies in obtaining information concerning technical problems with software released through FSEC.

(g) Notifying agencies of changes to software obtained through FSEC.

§ 201-31.014-5 Agency actions.

(a) Federal agencies are required to—

(1) Continually review software within the agency to identify programs or systems which would be of use to other agencies meeting the criteria set forth in § 201-31.014-1.

(2) Submit abstracts of programs meeting the criteria in § 201-31.014-1 to FSEC, National Technical Information Service, Springfield, VA 22151, on Standard Form (SF) 185, Federal Information Processing Standard Software Summary. Common-use programs and systems meeting the specified criteria will be described and reported to FSEC on a continuing basis. In addition to the instructions on SF 185, agencies may contact General Services Administration (KHE), Washington, DC 20405 (telephone (202) 523-4968 or FTS, 523-4968) for information concerning organization codes, computer manufacturers, and models.

(3) Notify FSEC, using SF 185, of changes to software previously reported. Such changes should have been adequately tested to ensure the effective performance of the software.

(4) Notify FSEC, using SF 185, of previously reported programs that the agency no longer maintains. (Reports shall be made within 30 days terminating maintenance).

(5) Make a one-time submission, within 15 days of receipt of the FSEC request, of an actual program and/or its documentation. System program documentation shall be provided to the extent that it can be implemented by other users and should contain as a minimum the following—

(i) A narrative;

(ii) User instructions which should include program interface requirements, system resource requirements, identity of the computer on which the software is operational, program language, the name, number and release of the system under which the soft-

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ware is operating, applicable data communications interface requirements and applicable error message descriptions, with recommended corrective actions;

(iii) A broad logic flowchart to indicate the ease of removal or addition of program modules;

(iv) Sample inputs and outputs; and

(v) Program listing of the source and object coding as well as available cross-reference listings generated by the applicable assembler or compiler.

(5) Notify FSEC of technical problems with software submitted to or obtained from FSEC within 15 days of detection of the problem.

(b) The submitting agency will not be responsible to another agency for maintenance of software submitted to FSEC that has been implemented in another agency.

(c) The reports required by this § 201-31.014-5 have been cleared in accordance with FPMR 101-11.11 and are exempt from reports control.

§ 201-31.014-6 Arrangments and guidelines for use of the Federal Software Exchange Program.

(a) Agencies having requirements for software that they plan to acquire from commercial sources shall screen existing Federal ADP software resources by reviewing the Federal Software Exchange Catalog or by obtaining assistance from FSEC to meet its software requirements. The catalog is a reference publication maintained by the FSEC which summarizes information about Government-owned common-use software produced by and for Federal agencies.

(b) Programs or systems listed in the Federal Software Exchange Catalog are available through FSEC which will contact the contributing agency for the requested documentation and/or programs. The contributing agency shall send the documentation and a copy of the program on either tape or cards to FSEC only once per program.

(c) FSEC will make a copy of both the documentation and the program to be kept on file for future requests. FSEC will provide the software package to the requesting agency at the published price.

§ 201-31.014-7 Effect on the software acquisition process.

When an agency is unsuccessful in obtaining the required software from those available through FSEC, the usual procedures for the acquisition of software will be followed.

§ 201-31.014-8 Forms availability.

Supplies of Standard Form 185 may be obtained by submitting a requisition in FEDSTRIP/MILSTRIP format to the GSA regional office providing support to the requesting activity.

§ 201-31.014-9 Federal Software Exchange Catalog availability.

The Federal Software Exchange Catalog of common-use programs and systems may be obtained from the National Technical Information Service, Springfield, VA 22151. Revisions of the catalog will be published quarterly.

§ 201-31.014-10 Federal Software Exchange Program review.

GSA will review FSEC at least annually to determine the efficiency of operations, effectiveness of mission, and significance of software cost avoidance realized.

§ 201-31.014-11 Assistance by GSA.

Assistance in any phase of the Software Exchange Program covered by this § 201-31.014 may be obtained by contacting the General Services Administration (KMA), Washington, DC 20405, or the appropriate GSA regional office.

PART 201-32—CONTRACTING FOR ADP RESOURCES

Sec.

201-32.000 Scope of part.

Subpart 201-32.1—Contracting for ADP Resources

201-32.100 Scope of subpart.
201-32.101 Implementation of acquisition policies.
201-32.102 Least cost acquisition.
201-32.103 Major system acquisition responsibilities.

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Sec.
201-32.104 Implementation of computer security requirements.
201-32.105 Implementation of standards.
201-32.106 Publicizing contracting actions.
201-32.107 Industry review of ADP specifications.
201-32.108 Evaluation factors.

Subpart 201-32.2—Contracting for ADP Equipment Items and Systems

201-32.200 Scope of subpart.
201-32.201—201-32.202 [Reserved]
201-32.203 Factors to be considered in determining lowest overall cost for ADP equipment systems.
201-32.204 Use of the GSA Solicitation Document for ADP equipment systems.
201-32.205 Solicitation provisions and contract clauses for ADP equipment systems.
201-32.205-1 Limitation of liability.
201-32.205-2 Contractor representation.
201-32.205-3 Fixed-price options.
201-32.205-4 Discontinuance repricing.
201-32.205-5 Discontinuance of rental and repricing.
201-32.206 Use of GSA nonmandatory ADP schedule contracts.
201-32.207 Use of GSA requirements contracts.
201-32.208 Use of GSA purchase programs for certain ADP related supplies.

Subpart 201-32.3—Contracting for ADP Services

201-32.300 Scope of subpart.
201-32.301 [Reserved]
201-32.302 Contract clauses for implementation of Privacy Act.
201-32.302-1 Rights in privacy safeguards.
201-32.302-2 Access to contractor facilities and records—privacy safeguards inspection.
201-32.303 Use of the GSA Teleprocessing Services Program (TSP).
201-32.303-1 Applicability of the TSP.
201-32.303-2 Scope of the TSP.
201-32.303-3 Procedures for acquiring TSP services.
201-32.303-4 GSA review of selections under the TSP.
201-32.304 Use of GSA regional support services.

AUTHORITY: Sec. 205(c), 63 Stat. 390; 40 U.S.C. 486(c).

SOURCE: FIRMR Amdt. 1, 50 FR 4376, Jan. 30, 1985, unless otherwise noted.

§ 201-32.000 Scope of part.

This part prescribes policies and procedures for the procurement and contracting of automatic data processing resources acquisitions. The provisions shall be used in conjunction with the Federal Acquisition Regulation (see Subpart 201-1.6).

Subpart 201-32.1—Contracting For ADP Resources

§ 201-32.100 Scope of subpart.

This subpart prescribes policies and procedures that have general application to the procurement and contracting for ADP resources.

§ 201-32.101 Implementation of acquisition policies.

Agencies shall follow the provisions set forth in Part 201-24 when contracting for ADP resources.

§ 201-32.102 Least cost acquisition.

(a) The contracting officer shall select the method of acquisition that represents the lowest overall system/item life cost to the Government, price and other factors considered. The solicitation should be accomplished in a manner that will allow evaluation of offers in this regard.

(b) If a purchase, long-term lease, or licensing arrangement is the lowest overall cost alternative and the proper type of funds (e.g., purchase money) are not available, GSA (KXMA) shall be contacted to determine if the ADP Fund can be used for the acquisition (see the current GSA Bulletin, Subject: Use of ADP Fund for Equipment Purchase).

(c) In some cases, lease may be the lowest overall cost alternative based on the system/item life to the initial user; whereas, purchase or a lease to ownership plan may be the lowest overall cost based on the Government system/item life. When this condition exists, the agency shall contact GSA (KXMA) to determine if the ADP Fund can be used to make the purchase. Equipment purchased by the ADP Fund under these conditions will be leased back to the using agency at a price not to exceed the vendor's lease cost over the initial user's system/item life. ADPE retained by the using agency beyond the originally established system/item life shall be sub-

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ject to a new ADP Fund leasing agreement.

(d) In those cases where purchase funds are not available but purchase is in the best interest of the Government, the method of acquisition which is most advantageous to the Government and for which funds are available shall be selected.

[FIRMR Amdt. 1, 50 FR 4376, Jan. 30, 1985, as amended by FIRMR Amdt. 4, 50 FR 27161, July 1, 1985]

§ 201-32.103 Major system acquisition responsibilities.

(a) *Responsibilities of requiring agency.* Before contracting for a major system acquisition under OMB Circular A-109 procedures, the requiring agency shall:

(1) Advise GSA when the agency head approves the mission need statement (Key Decision 1). The advice and assistance of GSA may be requested in peforming the analysis, particularly in regard to contemporary experience which may be applicable to the agency mission need. Requests for assistance should be addressed to General Services Administration (KMA), Washington, DC 20405.

(2) Forward two copies of the major system acquisition request to GSA (KMA). The request shall include applicable data required in the agency procurement request (APR) as required § 201-23.106. In addition, the request should include—

(i) A copy of the mission need statement, approved in accordance with applicable directives (Key Decision 1-Approval of Mission Need Statement);

(ii) The name, address, and telephone number of the designated program manager together with the approved charter outlining the manager's responsibilities, authority, and accountability; and

(iii) A copy of the system acquisition strategy and plan, approved by the program manager. Since the acquisition strategy and plan will become the blueprint for the contracting action, it should be developed in coordination with GSA. Participation by GSA may be arranged by contacting the Authorization and Management Reviews Division (KMA).

(b) *Responsibilities of GSA.* (1) Before the contracting phase of a major system acquisition, GSA will—

(i) Provide advice and assistance to the requiring agency, as requested, in its mission analysis efforts to the maximum particable extent.

(ii) Participate, in an advisory role to the agency program manager, in the development of the system acquisition strategy and plan, upon request.

(2) Based on the major system acquisition request, GSA will—

(i) Delegate authority to the agency to conduct the procurement;

(ii) Delegate authority to the agency to conduct the procurement action subject to the GSA participation to the extent specified in the delegation; or

(iii) Conduct the procurement on behalf of the agency.

(c) *Contracting by the requiring agency.* When the agency acts under a DPA, the agency shall conduct the procurement in compliance with applicable procurement policies, regulations, and, in particular, the specific terms of the delegation for the major system acquisition.

(d) *Procurement by GSA.* (1) When GSA elects to conduct the procurement, the procurement is a joint endeavor. Agency responsibilities shall be as set forth in § 201-23.111-1 as modified and supplemented in this § 201-32.103.

(i) The agency shall provide the necessary personnel for evaluation of the concept designs and demonstration contracts and for the selection of alternatives for further consideration.

(ii) The agency shall provide copies of agency head approvals (Key Decisions) to GSA.

(2) When conducting the procurement, GSA's responsibilities will be as set forth in § 201-23.111-2.

§ 201-32.104 Implementation of computer security requirements.

(a) Specifications for the acquisition of ADPE, software, maintenance services, ADP services or support services, and supplies are required to be certified by the requiring agency as meeting the agency security needs. (See OMB Circular No. A-71, Transmittal

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Memorandum No. 1, dated July 27, 1978, and implementing policies, procedures, standards, and guidelines issued by GSA (see Subparts 201-7.1 and 201-7.2), Department of Commerce, and the Office of Personnel Management.) These requirements are in addition to provisions concerning protection of the privacy of individuals (see Subpart 201-6.1, § 201-32.302, and FAR Subpart 24.1.)

(b) Solicitation specification shall include, where applicable—

(1) Agency rules of conduct that a contractor and the contractor's employees shall be required to follow;

(2) A list of the anticipated threats and hazards that have been determined by risk analysis that the contractor must guard against;

(3) A description of the safeguards that the user agency specifically requires the contractor to provide;

(4) The standards applicable to the contractual requirement;

(5) The test methods, procedures, criteria, and inspection system (or the requirement to submit proposals therefor) necessary to verify and monitor the operation of the safeguards during contract performance and to discover and counter any new threats or hazards;

(6) the requirement for periodically assessing the security risks involved and advising potential users of the level of security provided;

(7) Proposed contractual clauses or provisions, as necessary, to provide for the foregoing; and

(8) A description of the personnel security requirements.

(c) Evaluations of offers for award, where applicable, will include—

(1) The adequacy of the proposed safeguard program;

(2) The presence of safeguards, including personnel security requirements; and

(3) The inclusion in the proposed contract of clauses that appropriately provide for (i) title to safeguards designed or developed under the contract, (ii) control of publication or disclosure of safeguards whether Government furnished or contractor generated, and (iii) statement of work adjustments, as necessary, to reflect the contractor's proposal, its evaluation, and the contract negotiation.

(d) Contract administration should include, where applicable, monitoring the verification and inspection program for continuing effectiveness of the safeguard program including compliance with applicable standards, procedures, and guidelines incorporated into the contract.

§ 201-32.105 Implementation of standards.

Agencies shall implement standards set forth in Subpart 201-8.1 when contracting for ADP resources (see § 201-8.104).

§ 201-32.106 Publicizing contracting actions.

To ensure that full and open competition is obtained on ADP contracting actions, agencies shall publicize solicitations as set forth below:

(a) Synopses of proposed contracting actions shall be publicized in the "Commerce Business Daily" (CBD), in accordance with the provisions of FAR Subpart 5.2 (see also § 201-32.206(f)).

(b) Bids and proposals shall be solicited in accordance with applicable provisions (see FAR 8.001, 14.203-1 and 14.205). However, the GSA centralized Bidders Mailing List (BML) for Federal Supply Classification (FSC) Group 70 may be used for competitive ADPE and software acquisitions as established in agency procedures. Agencies may obtain the GSA BML by a written request to the General Services Administration (8 BRC), Building 4, Denver Federal Center, Denver, CO 80255. The request shall include the applicable class and BML code number.

7010-0001 ADPE System Configuration
7020-0001 ADP Central Processing Unit (CPU, Computer), Analog
7021-0001 ADP Central Processing Unit (CPU, Computer), Digital
7022-0001 ADP Central Processing Unit (CPU, Computer), Hybrid
7025-0001 Memory-Magnetic Storage
7025-0002 Magnetic Tape Subsystems
7025-0003 Magnetic Disk Subsystems
7025-0004 Printers, High Speed (ADP)
7025-0005 Paper Tape Devices
7025-0007 Interactive Display
7025-0008 Interactive Graphics
7025-0009 Interactive Hard Copy

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7025-0010 Other ADP Input/Output and Storage Devices
7030-0001 Operating System
7030-0002 Application Programs
7030-0003 Data Base Management Programs
7030-0004 Other Software
7035-0001 ADP Accessorial Equipment
7040-0001 Punched Card Equipment
7045-0002 ADP Support Equipment
7050-0001 ADP Components

The GSA BML which is received may be used for subsequent contracting actions for items in the class and BML code, provided the solicitation is released to industry within 90 calendar days following receipt of the BML in question.

(c) Section 201-32.106(b) shall be cited as the authority for the request. For further information concerning the above classes, agencies should contact General Services Administration (KEC), Washington, DC 20405.

(d) Agencies may use the BML for Standard Industrial Group 0739, BML Code 4, for ADP maintenance services. Procedures for obtaining and using this BML are the same as those outlined in paragraph (b) of this section. This § 201-32.106(d) shall be cited as the authority for requesting this BML.

[FIRMR Amdt. 1, 50 FR 4376, Jan. 30, 1985, as amended by FIRMR Amdt. 4, 50 FR 27161, July 1, 1985]

§ 201-32.107 Industry review of ADP specifications.

Maximum advantage shall be taken of the latest technological advances in the ADP field to ensure that the Government's data processing requirements are met at the lowest possible overall cost. The ADP industry can perform a useful service during the early stages of the contracting process by ensuring that the specifications are clearly stated and readily understandable and that they will permit the Government to take full advantage of current ADP technology. Accordingly, an agency, at its discretion, may provide potential offerors a copy of the proposed specifications before release of the formal solicitation. All those offerors who are scheduled to receive a copy of the solicitation under the provisions of § 201-32.106 should be furnished a copy of the proposed specifications. Offerors should be given a minimum of 30 calendar days in which to submit their written comments. If the acquisition is complex, offerors normally should be given at least 60 calendar days for submission of their comments. The agency shall evaluate the comments received and take such action as it determines to be appropriate. The Government's action on these comments shall be final.

§ 201-32.108 Evaluation factors.

Solicitations shall identify all factors, including conversion costs, that will be considered in the evaluation of offers (See FAR 15.406-5(c) and 15.605 and § 201-32.203). The evaluation factors shall be applied to the mandatory requirements and the other requirements identified as evaluated optional features, where applicable. When evaluated optional features are included in a solicitation, relative importance (expressed in dollars values, or points, or any other reasonable indicators) shall be indicated for each feature.

Subpart 201-32.2—Contracting for ADP Equipment Items and Systems

§ 201-32.200 Scope of subpart.

This subpart prescribes policies and procedures (in addition to those in Subpart 201-32.1) that have application to the procurement and contracting for ADP equipment items and systems.

§§ 201-32.201—201-32.202 [Reserved]

§ 201-32.203 Factors to be considered in determining lowest overall cost for ADP equipment systems.

The prices offered and estimated costs of conversion that can be stated in dollars for software, including data base management systems, data base conversion, files conversion, system test, parallel operations, and other expenses directly related to the conversion from installed ADPE and software to augmentation or replacement ADPE and software, shall be included in the evaluation for determining the lowest overall cost, price and other factors considered. The following are examples of other factors to be considered:

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(a) Economic benefits clearly attributable to increased agency productivity.

(b) Direct savings that would accrue to the Government from the release of rented ADPE, discontinuance of commercial ADP services, or reduction in telecommunications costs.

(c) Indirect savings derived from reductions in other than ADPE and ADP service costs, such as space and/or non-ADP personnel support expenses.

(d) Benefits from implementing new applications which otherwise would have to be deferred, either indefinitely or to a significantly distant point-in-time.

(e) Economic advantages resulting from providing the capability to accommodate projected increases in workload without contracting for further augmentation or replacement of the ADPE or acquisition of commercial ADP services.

(f) Potential savings due to the availability of software already developed and available from the Federal inventory or commercial marketplace that could be used to meet additional agency requirements.

(g) Proven reliability of the equipment and operating system software in similar operating environments.

(h) The proposed ADPE represents current technology and is not outdated.

(i) The continued availability of operating system software support and maintenance services beyond the initial system/item life that would enhance the probability of reutilization of the ADPE within the Government.

(j) The potential for supporting other agencies through the ADP sharing program.

[FIRMR Amdt. 1, 50 FR 4376, Jan. 30, 1985, as amended by FIRMR Amdt. 7, 51 FR 9959, Mar. 24, 1986]

§ 201-32.204 Use of the GSA Solicitation Document for ADP Equipment Systems.

The GSA Solicitation Document for ADP Equipment Systems is designed to assist contracting activities in preparing for ADP equipment system contracting. This document, together with a guidance document for agencies, is available for information and guidance. The solicitation document contains clauses regarding special provisions and contractor support. These clauses may be used if they meet the requirements of the user. A limited number of copies of this solicitation document are available from General Services Administration (KMPP), Washington, DC 20405.

§ 201-32.205 Solicitation provisions and contract clauses for ADP equipment systems.

§ 201-32.205-1 Limitation of liability.

The contracting officer shall insert the clause, Warranty Exclusion and Limitation of Damages (APR 84 FIRMR), contained in this § 201-32.205-1 in solicitations and contracts for ADP equipment, commercially available software, maintenance, and related supplies, unless the contracting officer determines that a higher degree of protection is in the best interest of the Government.

WARRANTY EXCLUSION AND LIMITATION OF DAMAGES (APR 84 FIRMR)

Except as expressly set forth in writing in this agreement, or except as provided in the Commitments, Warranties, and Representations clause, if applicable, and except for the implied warranty of merchantability, there are no warranties expressed or implied. In no event will the Contractor be liable to the Government for consequential damages as defined in the Uniform Commercial Code, Section 2-715, in effect in the District of Columbia as of January 1, 1973; i.e.:

Consequential damages resulting from the seller's breach include—

(a) Any loss resulting from general or particular requirements and needs of which the seller at the time of contracting had reason to know and which could not reasonably be prevented by cover or otherwise; and

(b) Injury to person or property proximately resulting from any breach of warranty.

(End of clause)

§ 201-32.205-2 Contractor representation.

The contracting officer shall insert the clause, Contractor Representation (APR 84 FIRMR), contained in this § 201-32.205-2 in solicitations and contracts for ADP equipment items or systems when the Government's re-

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quirement is set forth in whole or in part by functional specifications and the contract amount is expected to exceed $100,000.

CONTRACTOR REPRESENTATION (APR 84 FIRMR)

Unless the Contractor expressly states otherwise in the Contractor's proposal, where functional requirements are expressly stated as part of the requirements of this solicitation, the Contractor, by responding, represents that in its opinion the system/item proposed is capable of meeting those requirements. However, once the system/item is accepted by the Government, Contractor responsibility under this clause ceases. In the event of any inconsistency between the detailed specification and the functional specification contained in the solicitation, the former will control.

(End of clause)

§ 201-32.205-3 Fixed-price options.

(a) A fixed-price contract with an option to extend the contract period of performance and/or to acquire additional quantities may be in the best interest of the Government when—

(1) The Government has firm requirements for the use of ADPE, commercially available software, or maintenance services which extend beyond the initial fiscal year;

(2) Funds, including funds under statutes that limit the obligation of funds to the fiscal year of their appropriation, are unavailable beyond the initial fiscal year;

(3) A reasonable certainty exists that funds will be available thereafter to permit the satisfaction of the requirements; and

(4) Realistic competition for the additional periods or quantities may be impracticable once the initial contract is awarded.

(b) The evaluation of options is in the best interest of the Government at the time of initial award because it reduces the possibility of a buy-in and motivates price competition on a system/item life basis. "Buy-in" refers to the practice of attempting to obtain a contract award by knowingly offering a price less than anticipated costs with the expectation of receiving "follow-on" awards (where effective competition can be anticipated to be less) at prices at least high enough to recover any losses on the original "buy-in" contract. The long-term effects of this practice may diminish competition and may result in poor contract performance and higher long-term prices to the Government.

(c) One-time charges (startup and other nonrecurring costs), such as documentation, manuals, initial training requirements, etc., may be significant for a particular solicitation. An offeror may intend to absorb some portion of these costs or may plan to recover (amortize) them in connection with possible "follow-on" awards. Incumbent offerors could enjoy a competitive advantage since it may not be necessary to include portions of these costs. In addition, offerors with relatively broader markets and/or stronger financial resources tend to have greater flexibility with respect to any one individual procurement action. The evaluation of system/item life prices promotes greater competition by evening out these advantages and encourages lower system/item life pricing.

(d)(1) When considering options, care should be exercised in making the distinction between (i) discontinuance charges; i.e., terminations settlement compensation (the term includes prenegotiated contractual payment provisions) for discontinuance of performance during the initial contract period of performance or during an exercised option period of performance, (ii) separate charges for the Government's failure to exercise an option to extend the period of performance or to acquire additional quantities, and (iii) contracting for evaluated optional features which is outside the scope of this § 201-32.205-3.

(2) A contract pricing arrangement that calls for a payment that reflects the addition of a separate charge to a contract price is illegal if the charge when added to the contract price exceeds the amount that reasonably represents the value of *bona fide* fiscal year requirements. (See 31 U.S.C. 665a, 31 U.S.C. 712a, and 41 U.S.C. 11.) To preclude the offering of these illegal charges (because of the nonexercise of options) when options are to be incorporated into a contract, separate charges in any form shall not be solic-

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ited. Solicitations shall provide that offers containing any charges for the Government's failure to exercise any option will be rejected. The solicitation provision prescribed in paragraph (g) of this § 201-32.205-350 so provides.

(e)(1) When the provision, Fixed-Price Options (APR 84 FIRMR), is used, the Government and the contractor may find it mutually advantageous to incorporate a special contract clause containing specific notice and settlement terms to cover discontinuance of rental of equipment or software during the contract period of performance. The solicitation/contract provision, Discontinuance Repricing (APR 84 FIRMR), contained in § 201-32.205-4 and the contract clause, Discontinuance of Rental and Repricing (APR 84 FIRMR), contained in § 201-32.205-5 accomplish this purpose. When the clause at § 201-32.205-5 is incorporated in a contract, it is in addition to and takes precedence over the Termination for Convenience of the Government clause. If the clause at § 201-32.205-5 is not incorporated, discontinuance shall be governed solely by the Termination for Convenience of the Government clause.

(2) The Discontinuance Repricing (APR 84 FIRMR) clause provides notice of discontinuance and settlement payment terms. A means is provided to determine finitely discontinuance charges within a ceiling price that ensures that the value of the discontinued requirement and the contract value of the requirement for the applicable contract period are reasonable. It provides the opportunity for a lower price offer by covering the risk of discontinuance with specified repricing terms.

(3) Neither the incorporation of the clause in the contract nor the calculation and comparison of potential discontinuance charges shall be considered as a factor in the evaluation and selection for award.

(f)(1) The exercise of an option by the Government shall be made only if it is determined that (i) funds are available, (ii) the requirement covered by the option fulfills an existing need of the Government, and (iii) the exercise of the option is the most advantageous method of fulfilling the Government's need, price and other factors considered.

(2) The determination shall be set forth in writing and made a part of the contract file.

(g) The contracting officer shall insert the provision, Fixed-Price Options (APR 84 FIRMR), contained in this § 201-32.205-3(g) when the circumstances discussed in paragraph (a) of this § 201-32.205-3 are applicable. The provision requires completing and modifying actions, which are identified as follows:

*Delete bracketed words when inapplicable;

**Insert the specific number of months applicable to the solicitation;

***Insert the location in the solicitation where appropriate discount factors and the contemplated payment schedule are specified;

****Insert 30 days unless the Government determines that a longer period is appropriate.

When the Fixed-Price Options provision is used, the solicitation shall also specify—

(1) The system/item life;

(2) The present-value-discount methodology, including payment schedule, that will be used for purposes of award evaluation; and

(3) The option periods of performance and option quantities, as appropriate.

FIXED-PRICE OPTIONS (APR 84 FIRMR)

(a) This solicitation is being conducted on the basis that the known requirements extend beyond the initial contract period [and exceed the basic quantity]* to be awarded, but due to the unavailability of funds, including statutory limitations on obligation of funds, the options cannot be exercised at the time of award of the initial contract. There is a reasonable certainty that funds will be available thereafter to permit exercise of the options. Because realistic competition for the option periods [and quantity]* is impracticable once the initial contract is awarded, it is in the best interest of the Government to evaluate options in order to eliminate the possibility of a "buy-in."

(b) In order to safeguard the integrity of the Government's evaluation and because the Government is required to acquire ADPE and related items on the basis of fulfilling the systems-life requirement at the lowest overall cost, price and other factors

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considered, requirements for optional periods [and additional quantities]* as well as initial requirements will be evaluated for award on a fixed-price basis. Since the systems or items to be acquired under the solicitation have an expected life of ** months (hereafter referred to as "system life" or "item life," as appropriate), and since lowest system (item) life costs are synonymous with lowest overall costs, the contract resulting from this solicitation will contain options at fixed prices for renewals for subsequent periods based on fiscal years throughout the projected system (item) life [and options at fixed prices for all stated optional quantities of supplies or services not included in the initial requirements].* Despite the foregoing, offerors are reminded that although the evaluation that will lead to contract award will be based on system (item) life costs, the award of the initial contract as well as the exercise of the options is dependent not only on the continued existence of the requirement and the availability of funds but also on an affirmative determination that each exercise of an option is in the best interest of the Government.

(c) Options included in offers submitted in response to this solicitation will be evaluated as follows:

(1) *Firm Fixed Prices.* To be considered acceptable under the solicitation, offerors must offer (i) fixed prices for the initial contract period for the initial systems or items being acquired, (ii) fixed prices or prices which can be finitely determined for each separate option renewal period, which prices must remain in effect throughout that period, [and (iii) fixed prices or prices which can be finitely determined for all required option quantities].*

(2) *Evaluation of Prices.* Offers will be evaluated for purposes of award by adding the total prices of all optional periods [and all stated optional quantities]* to the total price for the initial contract period covering the initial system or items. These prices will be adjusted by the appropriate discount factors shown in *** of the solicitation document. Evaluation of option prices will not obligate the Government to exercise the options. Offers which do not include fixed or determinable system (item) life prices cannot be evaluated for the total systems-life requirement and will be rejected. Offers which meet the mandatory requirements will be evaluated on the basis of lowest overall cost to the government, price and other factors considered. Evaluated optional features, if any, will also be evaluated.

(3) *Separate Charges.* Separate charges, in any form, are not solicited. Offerors containing any charges for failure to exercise any option will be rejected.

(d) Selection of an offer shall be made on the basis of lowest overall cost, price and other factors considered, to the Government provided that the contract price reasonably represents the value of *bona fide* fiscal year requirements, rather than representing, to any extent, a portion of any other fiscal year's requirements. This determination with respect to the contract price shall be made after consideration of such factors as commercial or catalog prices for short-term leases, offeror system startup expenses, multiyear price protection, assured system-life availability of equipment, software, and vendor support. If a determination is made that an offer does not meet these criteria, that offer cannot be accepted for award.

(e) Award of an initial contract will not obligate the Government to exercise any contractual option. Prior to exercising any option, the Government will make a determination that (i) funds are available, (ii) the requirement covered by the option fulfills an existing need of the Government, and (iii) the exercise of the option is the most advantageous method of fulfilling the Government's need, price and other factors considered.

(f) Failure to exercise an option shall not obligate the Government to pay any charges other than the contract price including exercised options.

(End of provision)

(h) The contracting officer shall insert the clause, Option to Extend the Term of the Contract (APR 84 FIRMR), contained in this § 201-32.205-3(h) in solicitations and contracts when the solicitation includes the provision, Fixed-Price Options (APR 84 FIRMR), contained in § 201-32.205-3(g). Where * * * * appears in the clause, the contracting officer shall insert "30 days" unless a longer period is appropriate.

OPTION TO EXTEND THE TERM OF THE CONTRACT (APR 84 FIRMR)

This contract is renewable at the prices stated elsewhere in the contract, at the option of the Government, by the Contracting Officer giving written notice of renewal to the Contractor by the first day of each fiscal year of the Government or within 30 days after funds for that fiscal year become available, whichever date is the later; *provided,* that the Contracting Officer shall have given preliminary notice of the Government's intention to renew at least * * * * days before this contract is to expire. Such a preliminary notice of intent to renew shall not be deemed to commit the Government to renewals. If the Government exercises this option for renewal, the contract as renewed shall .e deemed to include this option

provision. However, the total duration of this contract, including the exercise of any options under this clause, shall not exceed ** months.

(End of clause)

(i) The contracting officer shall insert the clause, Option for Increased Quantities (APR 84 FIRMR), contained in this § 201-32.205-3(i) in solicitations and contracts when the solicitation includes the provision, Fixed-Price Options (APR 84 FIRMR), contained in § 201-32.205-3(g) and the known requirements exceed the basic quantity to be awarded.

OPTION FOR INCREASED QUANTITIES (APR 84 FIRMR)

The Government may increase the items called for herein by the quantities stated and at the unit prices specified elsewhere in this contract. The Contracting Officer may exercise this option at any time within the period set forth elsewhere in the contract by giving written notice to the Contractor. Delivery of items added by exercise of this option shall be in accordance with the delivery schedule set forth elsewhere in this contract.

(End of clause)

§ 201-32.205-4 Discontinuance repricing.

The contracting officer may insert the provision, Discontinuance Repricing (APR 84 FIRMR), contained in this § 201-32.205-4 in solicitations when a fixed-price contract is contemplated and conditions in § 201-32.205-3(e) are applicable. The provision contains boxes that provide the offeror an election to agree to or decline the inclusion in the contract of the clause, Discontinuance of Rental or Repricing (APR 84 FIRMR), contained in § 201-32.205-5.

DISCONTINUANCE REPRICING (APR 84 FIRMR)

(a) By the incorporation of this solicitation provision, the Government indicates its willingness to incorporate into the resulting contract the clause at FIRMR § 201-32.205-5, Discontinuance of Rental and Repricing (APR 84 FIRMR), which provides an alternative to standard termination for convenience procedures in appropriate circumstances.

(b) The following example illustrates the operation of the clause:

[FIRMR Amdt. 1, 50 FR 4346, Jan. 30, 1985, as amended by FIRMR Amdt. 6 51 FR 8320, Mar. 11, 1986]

—Monthly rental price effective for the period in which the discontinuance date falls for the discontinued item as stated in the contract—$90.
—Monthly rental price for the item effective at the time of initial award of the system contract as stated in the vendor's ADP schedule contract (or the established commercial catalog price at the same time, if lower or if no ADP schedule contract effective)—$120.
—Months of rental prior to the discontinuance date during the initial or option contract period of performance in which the discontinuance date occurs—10.
—Rental charges earned during the applicable period of performance (10 × $90)—$900.
—Discontinuance charges to be added at discontinuance date ($120 − $90 × 10)—$300.
—Total rental charges plus discontinuance charges ($900 + $300)—$1,200.
—Ceiling on total of rental charges and discontinuance repricing charges (12 × $90)—$1,080.
—Total price during period for the discontinued item ($1,080 ceiling lower than total rental earned plus discontinuance charges)—$1,080.

(c) *Offeror election.* The undersigned offeror ☐ agrees to, ☐ declines, the incorporation of the Discontinuance of Rental and Repricing clause in any contract which may result from this solicitation.

(End of provision)

§ 201-32.205-5 Discontinuance rental and repricing.

The contracting officer shall insert the clause, Discontinuance of Rental and Repricing (APR 84 FIRMR), contained in this § 201-32.205-5 in contracts when the solicitation includes the provision, Discontinuance Repricing (APR 84 FIRMR), contained in § 201-32.205-4, and the offeror has elected (by so indicating in the appropriate box in the provision) that the offeror agrees to the incorporation of the clause.

DISCONTINUANCE OF RENTAL AND REPRICING (APR 84 FIRMR)

(a) The Government may, in lieu of a termination under the Termination for the Convenience of the Government clause of this contract, during the initial or any option period of performance of this contract, discontinue rental of any equipment

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or software on a date specified in a written notice provided to the Contractor not less than 30 days prior to the specified discontinuance date. The Government may discontinue the rental on shorter notice when agreed to by the Contractor.

(b) In the event of discontinuance of rental under (a) above, the Government shall pay termination repricing charges to the Contractor as computed in accordance with this paragraph (b). The charges shall be the remainder obtained by subtracting the contract monthly rental price effective at the discontinuance date for the discontinued equipment or software item from the monthly rental price for the item under the GSA/ADP schedule contract or the established commercial catalog price, whichever is less, effective at the time of award of the contract's initial period of performance, multiplied by the number of months the item was rented during the particular contract period of performance (initial or option) in which the discontinuance was effective, provided, in no event shall the total of termination repricing charges and the contract rental price for the number of months the item was rented during the period in which discontinuance was effective exceed the contract price for the item for the entire period.

(c) The provisions of this clause shall prevail when notice pursuant to this clause is made.

(End of clause)

§ 201-32.206 Use of GSA nonmandatory ADP schedule contracts.

(a) *General.* (1) An order placed against a GSA nonmandatory ADP schedule contract (FSC Group 70) under § 201-23.104 is subject to the provisions of this § 201-32.206 and other applicable FIRMR provisions, including Parts 201-24, 201-30, and 201-32.

(2) An order against a GSA nonmandatory ADP schedule contract is placed under competitive procedures when (i) the ordering agency follows the procedures of this § 201-32.206 (but see § 201-11.001-2 where technical and requirements personnel use a specific make and model specification) and (ii) the order provides the lowest overall cost alternative to meet the needs of the Government. However, the use of a GSA nonmandatory ADP schedule contract for requirements available from only one responsible source shall be certified, justified, and approved in accordance with FAR 6.303 and 6.304. If responsible alternative sources are available (see FAR Part 7 for market survey procedures), the availability of items under a GSA nonmandatory ADP schedule contract shall not preclude or waive the requirement to seek (through alternative contracting procedures) the lowest overall cost alternative to meet the needs of the Government. In addition, the availability of those items under a GSA nonmandatory ADP schedule contract shall not preclude or otherwise detract from procuring the items (including peripheral equipment or items for augmenting an existing system) from a number of different sources if this action will be in the best interest of the Government. Any restrictive requirement (e.g., an "all or none" requirement or a requirement for "only new" equipment) shall not be used unless specifically justified. Also, any outdated ADPE ordered from a GSA nonmandatory ADP schedule must meet the acquisition policy provisions set forth in § 201-24.206.

(3) Suitable equipment or services must be considered whether or not it is on a GSA nonmandatory ADP schedule contract. When an agency is procuring under the blanket delegation of procurement authority provisions of § 201-23.104, the lowest overall cost alternative shall be sought. When using a GSA nonmandatory ADP schedule, an agency shall consider the offerings of a sufficient number of schedule contractors to ensure that its requirements are satisfied at the lowest overall cost to the Government. Alternatively, the agency may choose to prepare a solicitation document in an effort to secure appropriate products and related services at lower overall costs to the Government. Even though the solicitation process consumes time and resources, it may be in the best interest of the Government when:

(i) The expected cost reduction will exceed the added costs of solicitation and contracting;

(ii) There is a reasonable expectation that better offers will be received from suppliers other than the schedule contractor (e.g., "third party" suppliers) for suitable items; or

(iii) The agency requirement cannot be satisfied reasonably by any schedule contractor; e.g., the agency's requirement calls for a customized package of equipment, training services, or other features not offered under the schedule.

(4) An agency shall comply with the synopsis requirements of paragraphs (f) and (g) of this section before placing an order against a GSA nonmandatory ADP schedule contract.

(b) *Initial acquisition of ADPE.* An order for the initial acquisition of ADPE (whether for purchase or rental) may be placed against a GSA nonmandatory ADP schedule contract provided that both of the following conditions are met.

(1) The order does not exceed any applicable contract maximum order limitation (MOL).

(2) When the purchase price of the items covered (even though rented or leased) exceeds $300,000, a specific delegation of procurement authority (DPA) is obtained. (See §§ 201-23.104-1(b) and 201-23.106.)

(c) *Continued rental of lease or installed ADPE and software.* A GSA nonmandatory ADP schedule contract may be used for the continued lease or rental of installed equipment and software. However, before issuing a renewal order where the schedule purchase price exceeds $300,000, a specific DPA under § 201-23.104 shall be obtained if the results of the Commerce Business Daily (CBD) synopsis indicate that identical (specific make and model) or suitable substitute equipment is available from a source other than the schedule contract.

(d) *Conversion from lease to purchase of installed ADPE.* A GSA nonmandatory ADP schedule contract may be used for the conversion from lease to purchase of installed ADPE. However, before issuing an order to purchase previously leased ADPE with a net order price for the conversion exceeding $300,000, a specific DPA under § 201-23.104 shall be obtained if the results of the CBD synopsis indicate that identical (specific make and model) or suitable substitute equipment is available from a source other than the schedule contract.

(e) *Acquisition of software and maintenance services.* (1) An order may be placed against a GSA nonmandatory ADP schedule contract for software and maintenance services provided that the order does not exceed any applicable contract MOL.

(2) A GSA nonmandatory ADP schedule contract may contain ADP support services that are limited exclusively to direct support of operating/executive systems and other proprietary software under the contract.

(f) *Synopsis requirements.* (1) The intent to place an order against a GSA nonmandatory ADP schedule contract shall be synopsized in the CBD at least 15 calendar days before placing the order when (i) the purchase price of the equipment (whether purchased or leased) exceeds $50,000, (ii) the software charges (whether annual rate or single charge) exceed $50,000, (iii) the maintenance charges exceed a $50,000 annual rate, or (iv) the total value of any order exceeds $50,000. In calculating the 15 days for synopsizing, notwithstanding the presumption in FAR 5.203(f), the first day shall be the actual date the synopsis appears in the CBD. (In accordance with the Administrator of General Services' determination under Pub. L. 98-577, this synopsis requirement supersedes the requirement in FAR Subpart 5.2 to synopsize orders in excess of $10,000 for 30 days.)

(2) The synopsis should include sufficient information to permit the agency analysis required by paragraph (g) of this § 201-32.206. It shall be prepared and forwarded in accordance with FAR 5.207. The synopsis shall not be unnecessarily restrictive of competition, and as a minimum, and as applicable, it shall include:

(i) A statement that all responsible sources may respond to the synopsis and that all such responses will be fully considered by the agency;

(ii) The name, business address, and telephone number of the contracting officer;

(iii) A request for pricing data;

(iv) A statement that no contract award will be made on the basis of any response to the notice, because the synopsis of intent to place an order against the schedule contract shall not

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be considered a solicitation document; and

(v) An accurate description of the equipment or services to be ordered, including:

(A) The specific make and model of any equipment to be ordered or maintained;

(B) The name, functional description, and operating environment of any software packages to be ordered;

(C) The quantities, dates required, period of performance, and system/item life;

(D) The support requirement (e.g., hours of maintenance coverage or response times) for the ordered items;

(E) Any restrictive (e.g., "bundled," "only new," or "all or none") requirements that have been justified; and

(F) When converting from lease to purchase of installed ADPE, the amount of the net order price for the conversion.

(3) Publication of contract award information in the CBD is not required when an order is placed against a GSA nonmandatory ADP schedule contract since the schedule contracts are publicized in accordance with FAR Subpart 5.3.

(g) *Actions after the CBD synopsis.* The schedule order synopsis technique provides agencies with both the GSA negotiated schedule prices (derived from discounting prices in the competitive commercial marketplace) and such additional product and cost information as might be submitted by potential nonschedule suppliers in response to the CBD notification. After full consideration of the responses received in response to the CBD notice, the contracting officer must decide whether ordering from a GSA nonmandatory ADP schedule contract, or preparing a solicitation document, results in the lowest overall cost alternative to meet the needs of the Government. Accordingly, the contracting officer shall take one of the following actions:

(1) When no responses are received, the procurement file shall be documented with the results of the CBD synopsis and an analysis that indicates that an order placed against the applicable schedule contract provides the lowest overall cost alternative to the Government.

(2) When a response to the CBD notice is received from either a responsible nonschedule vendor or a schedule contractor (expressing an interest either on or off schedule) for an item(s) that meets the user's requirement, the contracting officer shall take one of the following actions:

(i) Document the procurement file with an analysis that indicates that the respondent's item(s) would not meet the requirement, or that the synopsized schedule item(s) provides the lowest overall cost alternative, and place an order against the synopsized schedule contract;

(ii) Document the procurement file with an analysis that indicates that a responding contractor's schedule offering is the lowest overall cost alternative and place an order against that schedule contract; or

(iii) Document the procurement file with an analysis that indicates that ordering from a GSA nonmandatory ADP schedule may not result in the lowest overall cost alternative to the Government. When this is the case, the contracting officer normally should issue a solicitation document. In this event:

(A) The solicitation should contain terms and conditions substantially the same as those contained in the schedule contract against which the order was to be placed. The addressees of the solicitation shall include the schedule contractor to ascertain any interest in furnishing the item(s) off the schedule. This procedure will permit the schedule vendor to discount the schedule item(s) price under a separate proposal that would not be a "price reduction" in the schedule contract.

(B) The agency shall publicize the procurement in accordance with the provisions of FAR Subpart 5.2.

(C) The contracting officer shall evaluate the offers received. It should be noted that some offerors may not agree to the solicitation terms and conditions that schedule contractors have accepted. The contracting officer shall act in a manner that provides the lowest overall cost alternative to the Government by either awarding a

contract based on the offers received in response to the solicitation or placing an order with a schedule contractor. The procurement file shall be documented to reflect the action taken.

(h) *Lowest overall cost alternative order not at lowest price.* If items are to be acquired under a GSA nonmandatory ADP schedule contract at other than the lowest delivered price available for identical or similar items under any GSA nonmandatory ADP schedule contract, an agency shall justify the action and shall retain the justification and supporting data or submit them to GSA if a specific DPA is required (see § 201-23.106). The following are examples of factors that may be used in support of a justification that an order at other than the lowest delivered price is the lowest overall cost alternative to meet the needs of the Government.

(1) Special features of one item, not provided by comparable items, are required in effective program performance.

(2) An actual need exists for special characteristics to accomplish identified tasks.

(3) It is essential that the item selected be compatible with items or systems already being used.

(4) Greater maintenance availability, lower overall maintenance costs, or the elimination of problems anticipated with respect to machine or systems, especially at isolated use points will produce savings over the system/item life which are greater than the difference in order prices.

[FIRMR Amdt. 4, 50 FR 27161, July 1, 1985; 50 FR 28208, July 11, 1985, as amended by FIRMR Amdt. 7, 51 FR 9959, Mar. 24, 1986]

§ 201-32.207 Use of GSA requirements contracts.

GSA makes selected ADPE and software available to agencies through requirements-type contracts that provide for substantially lower equipment and software costs. Where ADPE and software which will satisfy the user's requirements are available from GSA requirements-type contracts, this source shall be used by all agencies as the primary source of supply in accordance with the provisions of these contracts. Copies of the contracts (not contractor's price lists) are distributed to recipients of the schedule FSC Group 70, Part I. Additional copies are available from the General Services Administration (8BR), Building 41, Denver Federal Center, Denver, CO 80225. Some of these requirements-type contracts specify that GSA is responsible for the allocation of the ADPE or software. In these cases, authorization shall be obtained from the General Services Administration (KEC), Washington, DC 20405, before placing an order against the requirements-type contract. Before acquiring ADPE or software that is functionally similar to the ADPE or software on a requirements-type contract from another source, the agency shall—

(a) Document the contracting case file, indicating why the requirements-type contract could not be used; and

(b) Obtain a DPA from GSA if the acquisition falls outside the applicable blanket delegation of procurement authority.

§ 201-32.208 Use of GSA purchase programs for certain ADP related supplies.

Specific purchase programs have been established by GSA for selected ADP related supplies, including electronic data processing tape. Similar programs have been established for support equipment. When the identical item is available from multiple sources, contracts are awarded on a competitive basis. These contracts are the primary source of supply for the ADP supplies and support equipment included therein. Instructions for ordering these items are set forth in the contract. Specific purchase programs also have been established for tabulating machine cards and marginally punched continuous forms; instructions for ordering are contained in FPMR 101-26.509 and 101-26.703.

[FIRMR Amdt. 1, 50 FR 4376, Jan. 30, 1985, as amended by FIRMR Amdt. 4, 50 FR 27163, July 1, 1985]

Subpart 201-32.3—Contracting for ADP Services

§ 201-32.300 Scope of subparts.

This subpart prescribes policies and procedures (in addition to those in

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Subpart 201-32.1) that have application to the procurement and contracting for ADP services and support services.

§ 201-32.301 [Reserved]

§ 201-32.302 Contract clauses for implementation of the Privacy Act.

(a) Contract clauses required when an executive agency contracts for the design, development, operation, or maintenance of a system of records on individuals to accomplish an agency function are prescribed in FAR 24.104.

(b) Paragraph 5c(7) of OMB Circular A-108 (40 FR 28948, July 9, 1975) provides that the Administrator of General Services is responsible for issuing acquisition regulations that require executive agencies to review all proposed ADP equipment and ADP services acquisitions to assure compliance with applicable requirements of the Privacy Act of 1974 (Pub. L. 93-579, December 31, 1974; 5 U.S.C. 552a). Contracting regulations, including contract clauses, applicable to ADP services and ADP support services are set forth in this § 201-32.302. ADP and telecommunication management provisions regarding the Privacy Act are in Part 201-6. Related requirements regarding security of Federal ADP and telecommunications systems are in Part 201-7.

(c) When executive agencies contract for commercial ADP services or support services subject to the Privacy Act, the contracting officer shall include in solicitations and contracts—

(1) Agency rules of conduct that a contractor and employees shall be required to follow;

(2) A list of the anticipated threats and hazards inherent in the contemplated acquisition against which the contractor must safeguard;

(3) A description of the safeguards that the agency requires the contractor to provide;

(4) Requirements for a program of Government inspection during performance of the contract that will ensure the continued efficacy and efficiency of safeguards and the discovery and countering of new threats and hazards; and

(5) The contract clauses prescribed in §§ 201-32.302-1 and 201-32.302-2.

§ 201-32.302-1 Rights in privacy safeguards.

The contracting officer shall insert the clause, Rights in Privacy Safeguards (APR 84 FIRMR), contained in this § 201-32.302-1 in solicitations and contracts for commercial ADP services or support services subject to the Privacy Act.

RIGHTS IN PRIVACY SAFEGUARDS (APR 84 FIRMR)

(a) The details of any and all safeguards that the Contractor may design or develop under this contract shall become and remain the property of the Government and shall not be published or disclosed in any manner without the express written consent of the Government.

(b) The details of any and all safeguards that may be revealed to the Contractor by the Government in the course of performing under this contract shall not be published or disclosed in any manner without the express written consent the Government.

(End of clause)

§ 201-32.302-2 Access to contractor facilities and records—privacy safeguards inspection.

The contracting officer shall insert the clause, Access to Contractor Facilities and Records—Privacy Safeguards Inspection (APR 84 FIRMR), contained in this § 201-32.302-2 in solicitations and contracts for commercial ADP services or support services subject to the Privacy Act.

ACCESS TO CONTRACTOR FACILITIES AND RECORDS—PRIVACY SAFEGUARDS INSPECTION (APR 84 FIRMR)

(a) The Government shall be afforded full, free, and uninhibited access to all facilities and installations, and to all technical capabilities and operations, and to all documentation, records, and data bases for the purpose of carrying out a program of inspection to ensure continued efficacy and efficiency of safeguards against threats and hazards to data security, integrity, and confidentiality.

(b) In the event that new or unanticipated threats or hazards are discovered by either the Government or the Contractor, or that existing safeguards have ceased to function, the discoverer shall immediately bring the

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situtation to the attention of the other party. Mutual agreement shall then be reached on changes or corrections to existing safeguards or institution of new safeguards with final determination of appropriateness being made by the Government. The cost of such changes or corrections shall be a matter of negotiation. The Government's liability is limited to an equitable adjustment of cost for such changes or corrections, and the Government shall not be liable for claims of loss of business, damage to reputation, or damages of any other kind arising from discovery of new or unanticipated threats or hazards, or any public or private disclosure thereof.

(End of clause)

[FIRMR Amdt. 1, 50 FR 4376, Jan. 30, 1985, as amended by FIRMR Amdt. 4, 50 FR 27163, July 1, 1985]

§ 201-32.303 Use of the GSA Teleprocessing Services Program (TSP).

The TSP is a centrally managed GSA program that provides agencies with effective and efficient means of acquiring certain commercial ADP services including related ADP support services. Agencies shall use the TSP in accordance with this Part 201-32. The TSP includes two methods for acquiring commercial ADP services. Neither of these methods allows cost-reimbursement contracting. Agencies may use either method, as appropriate.

(a) *The multiple award schedule (MAS).* (1) GSA periodically establishes a TSP multiple award schedule under which it negotiates contracts which include firm rates for services from the participating firms. An order against a TSP MAS contract is placed under competitive procedures when (i) the ordering agency follows the procedures of this § 201-32.303 (but see § 201-11.002-1 where technical and requirements personnel use a specific make and model specification) and (ii) the order provides the lowest overall cost alternative to meet the needs of the Government. However, the use of the MAS for requirements available from only one responsible source shall be certified, justified, and approved in accordance with FAR 6.303 and 6.304.

(2) These schedule contracts are made available for efficient agency acquisition. The MAS provides for incremental discounts based on each firm's total MAS dollar volume of services delivered Governmentwide. However, for evaluation purposes, individual selections under the MAS will be based on an assumed "zero volume" for each contractor. Agencies will apply the volume discount for each contractor according to the agency's estimated monthly use of the requirement being evaluated. The MAS defines the terms and conditions under which a purchase order placed by an agency will be performed by the contractor selected by that agency. The MAS terms and conditions can be modified only by GSA. Under the provisions of the MSA, a participating firm may modify its service offerings through a MAS modification procedure.

(3) Agencies shall initiate the procedures described in the Teleprocessing Services Program Handbook by notifying TSP MAS firms of their requirements and planned source selection. For all selections under the MAS, an agency has the option of not allocating time for receipt, processing, and distribution of modifications and price reductions, provided it has determined that the procedure will result in the lowest overall cost alternative to meet the needs of the Government and provided the letter of inquiry states that this procedure is applicable. (See § 201-32.303-3(d) which also does not permit modifications.) If an agency chooses to disallow modifications, it must document the procurement file to show why disallowing modifications is more advantageous than allowing modifications, e.g., immediate need of service outweighs the potential for lower pricing. The agency shall make the source selection in accordance with the terms of the MAS and shall evaluate, select a source, and issue a line item, time and resources-used, ceiling-price purchase order. The MAS shall not be used for a dedicated teleprocessing system (see § 201-2.001 for definition) requirement; however, portions of a system such as on-line storage and communication ports may be reserved for exclusive use by a single user or group of users. Dedicated system alternatives should not be confused with dedicated use ADPE or software as provided in § 201-24.209.

(b) *The basic agreement (BA).* (1) GSA periodically establishes a BA

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under which GSA negotiated terms and conditions are made available for agency use in soliciting proposals and awarding contracts for TSP services. The BA terms and conditions can be modified only by GSA. Properly justified sole-source contracting actions may be conducted under the BA when a requirement within the TSP scope cannot be satisfied under the MAS. Unless a sole source is justified, agencies shall notify firms that have entered into the BA of their requirements and planned source selection. Additionally, agencies are responsible for synopsizing BA requirements in the "Commerce Business Daily" in accordance with applicable regulations (see FAR Part 5). Firms that have not entered into a BA with GSA shall be considered for contract award provided the firm agrees in its offer to all terms and conditions of the BA.

(2) Dedicated teleprocessing systems requirements may be included in a BA solicitation under the TSP provided:

(i) The APR (when required) includes appropriate documentation to support a system requirement configuration, or a specific part thereof, which is to be solicited on only a dedicated-system basis. This provision does not apply when an agency expresses willingness to evaluate a dedicated-system alternative proposal to a proposal priced on a resources-used (unit rates) basis.

(ii) The solicitation document provides for the submission and evaluation of dedicated-system proposals, on either a required or alternate basis. Offers for a dedicated system shall be considered only on a fixed-price, regardless-of-usage basis for the specified requirement.

(iii) When dedicated-system proposals are to be solicited and evaluated as an alternative to resources-used type proposals, evaluation criteria shall be sufficient to adequately compare a dedicated system pricing offer with resources-used (unit rates) offers to determine lowest overall cost. The solicitation document shall provide that an offeror submitting a dedicated-system proposal must also submit a resources-used proposal, otherwise the dedicated-system alternative shall be eliminated from consideration. Contract awards made on a system-life basis shall provide for an annual Government review of workload and usage and reserve the right to select on a prospective basis the more favorable of the contractor's dedicated-system or resources-used pricing mode.

(c) *Other contracting arrangements.* If an agency determines that a particular requirement within the scope of the TSP (see § 201-32.303-2) cannot be satisfied by any firm currently participating in the TSP, either MAS or BA, or by any firm willing to enter into a contract under the TSP BA, the agency may acquire such services as an exception to the TSP, subject to the provisions set forth in paragraph (d) of § 202-32.303-3.

(d) *TSP guidance.* (1) Guidance concerning the TSP may be obtained from the General Services Administration (KED), Washington, DC 20405 or from any GSA regional office.

(2) The Teleprocessing Services Program (TSP) Handbook provides procedures to be followed by Federal agencies in acquiring commercial ADP services within the TSP scope. The handbook is not a regulation. However, it reflects regulatory requirements of this Part 201-32. A limited number of copies of the handbook are available without charge to all Federal agencies by written request to any of the offices identified in paragraph (d)(1), above. Major revisions or new editions of the handbook are announced in FIRMR bulletins.

(e) *Agency management of TSP services.* (1) Agency management is responsible for controlling costs and taking appropriate action when expenditures for services exceed the estimates and contract ceiling amounts. An essential element in controlling costs is the establishment of procedures to account for and allocate all costs of data processing to the end users according to the services received. Principles for these procedures are set forth in GAO Accounting Pamphlet Number 4 and OMB Circular A-121.

(2) Since the use of TSP services under many TSP basic agreement contracts has substantially exceeded the estimated use and in many instances has resulted in ureasonable and exces-

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sive charges compared to the original evaluation, Federal agencies should monitor these contracts on a monthly basis. If the actual use based on expenditures exceeds the projected use by more than 25 percent for two or more consecutive months, a report should be submitted to the requiring official, with a copy to the designated senior official for the agency under the Paperwork Reduction Act. The requiring official should investigate the increased use to determine its cause(s) and develop a plan to correct the situation. Depending upon the extent of the increase, including expected duration, and whether appropriate management action will reduce the use to an acceptable level, it may be necessary for the agency to recompute its requirements. Similar procedures should be implemented for monitoring costs from purchase orders placed under the MAS.

(3) Good agency management of TSP services starts with good planning and the commitment to follow through. Maintaining current requirement specifications, workload estimates, and program packages needed for benchmarking will add flexibility to the ability to locate, respond to, and correct program deficiencies (see also § 201-23.104-5(d)).

[FIRMR Amdt. 1, 50 FR 4376, Jan. 30, 1985, as amended by FIRMR Amdt. 4, 50 FR 27163, July 1, 1985]

§ 201-32.303-1 Applicability of the TSP.

(a) When a Federal agency requirement analysis (see § 201-30.007) indicates that commercial ADP services should be considered (see § 201-30.009) to satisfy an ADP requirement and it is within the scope of the GSA managed TSP, an agency shall use the TSP (but see § 201-24.005 and § 201-32.303-3(d)).

(b) Government contractors who require ADP teleprocessing services in the performance of work under cost-reimbursement type contracts or subcontracts may use the TSP pursuant to FAR Part 51.

§ 201-32.303-2 Scope of the TSP.

(a) *Covered TSP services.* Types of ADP services covered include interactive, remote batch processing, and a combination of these (full services), as well as related ADP support services incidental to the teleprocessing performed by commercial firms.

(b) *Excluded TSP services.* Exclusively local batch processing services are excluded.

(c) *Covered TSP support services.* Types of related ADP support services covered include—

(1) Training services that are limited to the unique features of a particular teleprocessing service;

(2) Technical assistance/analyst services (TA/AS). Includes limited design and development tasks and technical assistance on the use of vendor-provided software packages. Such service shall be used only when optimizing existing application systems, provided such services are incidental to the teleprocessing services being procured and the cost of the TA/AS does not exceed 10 percent or $100,000 (whichever is less) of the total requirement per year (see also § 201-32.303-2(d));

(3) Use of the TSP firm's premium (extra charge) software packages related to a teleprocessing requirement;

(4) Use of the TSP firm's data bases related to a teleprocessing requirement;

(5) Furnishing network documentation; or

(6) Conversion of Government-controlled files and application programs when initiating performance or changing firms under a TSP contracting arrangement as provided in paragraph (e), below.

(d) *Limitations on TA/AS.* Technical assistance/analyst services (TA/AS) (paragraph (c)(2) of this section) have TSP acquisition dollar limitations that are reflected in both the MAS and BA. Procurement of TA/AS services that exceed the established limitations or that are for purposes other than those stated in paragraph (c)(2) above should be on a full and open competition basis (see also § 201-32.304). The dollar limitation for each teleprocessing requirement is 10 percent of the total value of the requirement per fiscal year, not to exceed $100,000 per year. The requiring agency shall obtain authorization from the GSA TSP contracting officer before placing

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a purchase order under the MAS or awarding a contract under the BA that includes requirements that are estimated to exceed the above limitations.

(e) *Conversion under TSP.* ADP support services associated with conversion of files and application programs (paragraph (c)(6) above) may be included in an MAS purchase order or BA contract at the option of the using agency, provided:

(1) A determination is made, when a TSP conversion requirement is estimated to exceed $75,000, that more extensive competition is not practicable.

(2) The conversion is consistent with the management and planning action provisions set forth in § 201-30.012.

(3) Each participating firm, when the MAS method is selected and the teleprocessing requirement includes conversion services, is required to propose the conversion portion of the requirement or be eliminated from consideration for that teleprocessing requirement.

(4) The description of the individual TSP conversion requirement identifies, as a minimum, the number of programs to be converted, the source computer system, the number of lines of code to be converted by language, the number of files to be converted by organizational type (e.g.; index sequential, sequential, random, DBMS), a description of the complexity and level of documentation of the files and programs, redocumentation requirements, training requirements, and specific testing and acceptance criteria for the converted programs and files.

(5) Offerors are provided an opportunity to inspect, for proposal purposes, the available documentation of all programs and files pertinent to the conversion effort, subject to necessary limitations for the protection of personal, proprietary, or other sensitive data.

(6) Offers for conversion services are solicited and awarded on a separate line item, firm fixed-price basis. Under the MAS method, participating firms do not quote conversion services rates in their schedule price list; rather a firm offer is made for each particular requirement.

(7) Order placements or contract awards, when teleprocessing requirements include conversion services, are based on lowest overall cost, price and other factors considered. Cost of conversion shall be included as an element of overall teleprocessing services costs.

(f) *Excluded facilities management.* Facilities management of Government furnished ADP equipment is excluded.

(g) *Excluded ADPE.* The lease or purchase of ADPE including terminals is excluded.

[FIRMR Amdt. 1, 50 FR 4376, Jan. 30, 1985, as amended by FIRMR Amdt. 4, 50 FR 27164, July 1, 1985; 50 FR 28200, July 11, 1985]

§ 201-32.303-3 Procedures for acquiring TSP services.

(a) *Description and authorization.* Agency ADP managers shall document their teleprocessing service requirements so TSP procedures can be economically and efficiently applied by the acquisition activity. When the value of the acquisition exceeds the blanket dollar thresholds for GSA authorization to proceed with a commercial ADP services contracting action (see § 201-23.104-5), the agency is required to submit an APR to GSA (see § 201-23.106).

(b) *Evaluation and source selection.* Selection of a specific source shall be based on a technical and a system-life cost evaluation appropriate to the contacting method selected (see also § 201-24.101).

(1) Technical requirement evaluation factors shall be limited to mandatory service requirements and those evaluated optional service features that are assigned relative values (expressed in dollars, points, or any other reasonable indicators). Evaluated optional service features should not exceed 20 percent weighting value in the total evaluation. Other technical evaluation factors may be appropriate (see § 201-32.203).

(2) The lowest overall cost shall be used in evaluation and source selection. Conversion costs shall be included in system-life evaluations as provided in § 201-30.012-2. Technically acceptable contractor price quotations

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instead of Government estimates for specific contractor conversion efforts shall be used in the Government's overall estimate of conversion cost in computing the system-life costs.

(3) Benchmarks are required for TSP requirements that exceed $500,000 per year unless the procuring agency determines that analytical techniques such as paper/technical evaluations will provide the accuracy needed for cost evaluation. The complexity of a benchmark or an analytical technique should be scaled to the value and complexity of the associated procurement. Benchmarks or analytical techniques may be used for annual requirements between $100,000 and $500,000. In this dollar range, minimal benchmarks (functional and/or scenario tests using vendor application software packages, etc.) should be used to the maximum practicable extent. The use of benchmarks for requirements under $100,000 annually is not normally cost effective; however, a minimal benchmark may be used if an agency determines that a benchmark is needed as a reasonable basis for cost validation. The agency's benchmark package for requirements over $500,000 annually shall be available to offerors at least 45 calendar days before benchmark performance. However, if the agency is procuring services to fulfill an urgent requirement, a shorter availability period may be specified. The selection of the benchmark workload is critical to the source selection because it will exercise the contractor's billing algorithm, a significant factor in cost determination.

(4) For selections under the MAS, prices, rates, and discounts applied in the calculation of the system life cost shall conform to the terms of the schedule agreement. Related ADP support service costs for selections under the MAS, except for conversion services and system design and programming, shall be derived directly from the price list.

(5) Benchmark materials to be used for selection under the MAS shall be available on the "Release Date" of the requirements under MAS procedures. For selections under the BA, benchmark materials shall be available at the time solicitations are released. Benchmark materials shall be furnished to all firms who indicate an intent to enter into the competition. Under either the MAS or BA, a copy of the benchmark used for cost evaluation purposes in the selection process shall be retained for periodic performance evaluation purposes over the system life of the requirement.

(6) The technically acceptable offer evaluated as the lowest overall cost, price and other factors considered, shall be selected.

(7) Agencies are responsible for ensuring that contractor services received and invoices submitted are consistent with the terms, conditions, and prices of the schedule or contract. The benchmark used for source selection, which exercises the contractor's billing algorithm, should be periodically rerun throughout the contract life to provide this verification. Agencies should contact GSA's Contract Programs Division (KED), Washington, DC 20405, for assistance in invoice verification, auditing, and use of billing algorithms, telephone (202) 566-0646 or FTS, 566-0646.

(c) *Low cost procurement.* When the system life estimated cost does not exceed $25,000, the MAS method provides a simplified procedure that agencies may use for selecting teleprocessing services. Requirements shall not be fragmented in order to circumvent normal TSP procedures.

(d) *Abbreviated procedures.* When the annual cost is not expected to exceed $50,000, an agency may elect to use a special abbreviated procedure under the MAS. This abbreviated procedure permits considering a sufficient number of MAS contractors that the selecting agency's contracting officer deems necessary to ensure that the requirement is met at the lowest overall cost alternative to meet the needs of the Government. This abbreviated procedure does not allow letters of interest, modifications of any type, or benchmarking. The technically acceptable MAS evaluated as the lowest overall cost alternative, price and other factors considered, shall be selected from the MAS contractors.

(e) *Exceptions.* (1) Agencies shall attempt to satisfy their commercial ADP service requirements which are within

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the scope of the TSP through use of the MAS or BA methods. When it appears likely that neither method can satisfy the requirement, the agency shall conduct and document a market survey to determine the availability of the required services from participating TSP firms and from other sources that would negotiate under the TSP BA. When the results of the survey are negative, an exception exists.

(2) When a TSP exception exists and when the value of the acquisition exceeds the applicable blanket regulatory delegation of procurement authority threshold, the agency APR submission shall include the following—

(i) Documentation of the survey;

(ii) Documentation describing the method of acquisition contemplated because of the survey results, and

(iii) If sole source, documentation as set forth in § 201-23.106-1(b)(4)(iv).

[FIRMR Amdt. 1, 50 FR 4376, Jan. 30, 1985, as amended by FIRMR Amdt. 4, 50 FR 27164, July 1, 1985]

§ 201-32.303-4 GSA review of selections under the TSP.

GSA reserves the right to review any agency TSP selection action under the MAS or BA or as an exception to the TSP, either before or after award. Consequently, contractor selection and contracting documentation shall be retained in agency files for a period of two years after selection.

§ 201-32.304 Use of GSA regional support services.

GSA establishes and makes available for the use of other agencies a variety of regional ADP, office automation, and telecommunications support services contracts. These contracts may include such areas as software development and programing, telecommunications analyses, computer security analyses, production of computer-output microfilm, and data entry. Agencies should consult with their GSA/OIRM regional office to determine the scope and availability of these contracts. Organizations having a Memorandum of Understanding with the respective GSA regional office may obtain services through these contracts without further administrative justification. These sources of supply should be used if the agency determines they will meet the user's need at the lowest overall cost, price and other factors considered. The following information is generally descriptive of these contracts.

(a) These regional requirements contracts are mandatory on the GSA and on the contractor. They are optional for use by agencies whose requirements fall within the scope of these contracts.

(b) Agencies who wish to use these contracts have the responsibility to develop, jointly with GSA regional personnel, a statement of their work and deliverables. The GSA regional personnel serve as contract administrators on the contracts and technical consultants.

(c) Task orders are negotiated by GSA and the agency with vendors based upon services and deliverables specified by the requesting agency. GSA contract administrators ensure that contract provisions are met and services are delivered as negotiated.

(d) Agencies reimburse GSA through the ADP or Federal Telecommunications Fund, as appropriate, for services received under the requirements contracts.

PART 201-33—REUSE OF ADP EQUIPMENT

Sec.

201-33.000 Scope of part.
201-33.001 Applicability.
201-33.002 Reassignment of ADPE within Federal agencies.
201-33.003 Reutilization of excess ADPE.
201-33.003-1 Designation of Agency ADPE point of contact.
201-33.003-2 Considerations for use of excess Government-owned or leased ADPE.
201-33.003-3 Reporting excess or exchange/sale ADPE.
201-33.004 Availability list.
201-33.005 Want list and holds.
201-33.006 Requests for transfer of excess ADPE or exchange/sale ADPE.
201-33.007 Care and handling of excess or exchange/sale ADPE.
201-33.008 Donation and sale of surplus ADPE.
201-33.009 Use of the ADP Fund.
201-33.009-1 General Conditions of an ADP Fund lease.

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Sec.

201-33.009-2 Reporting ADP Fund equipment excess.
201-33.009-3 Transfer of ADP Fund equipment.
201-33.009-4 Guarantee of ADP Fund equipment.
201-33.009-5 Use of the ADP Fund for acquisition of exchange/sale ADPE.
201-33.010 Use of excess ADPE on cost-reimbursement type contracts and project grants.
201-33.010-1 Use of excess ADPE on cost-reimbursement type contracts.
201-33.010-2 Use of excess ADPE on grants: Eligibility.
201-33.010-3 Use of excess ADPE on project grants: Federal and project grantee responsibility.
201-33.011 Reporting excess or exchange/sale ADPE.
201-33.011-1 Assignment of automatic release date.
201-33.011-2 Withdrawal of reports of excess or exchange/sale ADPE.
201-33.011-3 Corrections to reports of excess or exchange/sale ADPE.
201-33.011-4 Annual reporting requirements.
201-33.012 Reuse of outdated ADPE.

AUTHORITY: Sec. 205(c), 63 Stat. 390; 40 U.S.C. 486(c).

SOURCE: FIRMR Amdt. 1, 50 FR 4384, Jan. 30, 1985, unless otherwise noted.

§ 201-33.000 Scope of part.

This part prescribes policies and procedures for the reuse of automatic data processing equipment (ADPE) in the Federal Government.

§ 201-33.001 Applicability.

(a) The provisions of this Part 201-33 apply to all Federal agencies. Agencies shall apply the provisions to their grantees and contractors who operate ADP equipment under grants, contracts, or subcontracts, when the ADP equipment is—

(1) Leased and the total cost of leasing is reimbursed under one or more Government contracts or grants;

(2) Acquired by a contractor or grantee under a contract or grant under the terms of which title is either vested in the Government or the Government is obligated or has the option to take over title;

(3) Furnished to the grantee or contractor by the Government; or

(4) Operated by the grantee or contractor as part of a Government-owned or controlled facility.

(b) The provisions of this Part 201-33 do not apply to excess auxiliary or accessorial automatic data processing equipment (ADPE) with an original acquisition cost (OAC) of $1,500 or less (but see §§ 201-33.003 and 201-33.011).

§ 201-33.002 Reassignment of ADPE within Federal agencies.

(a) Government-owned ADPE not declared excess shall be reassigned within the agency when it is no longer required for the purpose for which it was acquired and the agency has another approved requirement which can best or most economically be met by reassigning this ADPE. When Government-owned ADPE can be substituted for ADPE intended to be acquired by lease or purchase or when Government-owned ADPE can be adapted for other further use, the intended acquisition action shall be stopped. Title transfer (under the authority of FPMR Part 101-46) between such owned ADPE and leased ADPE shall be considered as a means of reducing rental payments. ADPE shall be reassigned as specified in § 201-33.003-2.

(b) The reassignment of Government-leased ADPE that has not been declared excess and that is no longer required for the purpose and use for which it was originally acquired is a sole source procurement action and, therefore, must be accomplished as specified in regulations governing sole source procurements.

(c) When there is no approved requirement for ADPE within the agency and ADPE is determined to be excess, this ADPE shall be reported to GSA as specified in § 201-33.011.

(d) Reassignment of ADPE to Federal agency grantees shall not be made until Federal requirements are determined in accordance with this Part 201-33.

(e) The use of ADPE for maintenance by redundancy (backup) or cannibalization for a parts source of supply shall not be made until Federal requirements are determined in accordance with this Part 201-33.

§ 201-33.003 Reutilization of excess ADPE.

Federal agencies shall determine whether their ADP requirements can be efficiently and economically satisfied by using excess or exchange/sale ADPE. Agency procedures shall include screening of availability lists. To obtain maximum reutilization and to minimize the procurement of new ADPE, excess and exchange/sale ADPE shall be made available for transfer to other Federal agencies in accordance with the provisions of this Part 201-33. Excess auxiliary or accessorial items with a unit original acquisition cost (OAC) of $1,500 or less shall be made available for transfer to other Federal agencies in accordance with the provisions of FPMR Subpart 101-43.3. Any need for excess ADPE expressed by a Federal agency, including the Senate, the House of Representatives, the Architect of the Capitol and any activities under the Architect's direction, the District of Columbia, and mixed-ownership Government corporations, shall take precedence over disposal, provided such a need is made known to GSA prior to shipment or delivery in case of donation or prior to removal of the property from Government control in case of sale. Outdated ADPE will not be offered by GSA for agency screening; reuse shall be subject to the provisions of § 201-33.012.

[FIRMR Amdt. 7, 51 FR 9959, Mar. 24, 1986]

§ 201-33.003-1 Designation of agency ADPE point of contact.

(a) Each agency head shall designate an agency ADPE point of contact to promote the maximum reutilization of excess ADPE, to provide proper coordination on an interagency basis, and to ensure the excess ADPE is acquired in accordance with agency plans and program efforts. The name, address, and phone number of this individual shall be submitted promptly after designation to General Services Administration, (KHE), Washington, DC 20405.

§ 201-33.003-2 Considerations for use of excess Government-owned or -leased ADPE.

A procurement solicitation to acquire ADPE by purchase or lease shall not be initiated until it is first determined and appropriately documented that the requirement cannot be met economically and efficiently by sharing ADPE already installed (see Part 201-31) or by utilizing excess Government-owned or -leased ADPE advertised in ADPE availability lists published by GSA.

(a) Excess Government-owned ADPE shall be considered at all times as a replacement for installed leased ADPE or meeting new requirements if the excess owned ADPE has the capability to fulfill the systems specifications and its overall costs in terms of acquisition represent the least overall cost to the Government. The reutilization of excess Government-owned ADPE is not a procurement action and therefore is not subject to the laws and regulations governing procurement by Federal agencies.

(1) When a contract has been awarded or a purchase/delivery order placed against an applicable ADP Schedule contract for ADPE and similar owned excess ADPE becomes available, consideration shall be given to terminating the contract or purchase/delivery order for the convenience of the Government. An evaluation of termination charges, if any, shall be made in addition to the other considerations indicated in this § 201-33.003-2.

(2) To obtain maximum economic advantage to the Government, reutilization of excess owned ADPE to satisfy requirements generally shall be considered in the following priority order:

(i) To replace leased ADPE that is identical or functionally compatible;

(ii) To avoid procurement of new ADPE that is identical or functionally compatible;

(iii) To modify Government-owned ADPE to make it identical or functionally compatible;

(iv) To provide maintenance by redundancy; i.e., backup for installed ADPE; and

(v) To cannibalize in order to have a parts source of supply for maintenance. In instances where maintenance support has been discontinued or significantly curtailed, reuse priority may be given to agencies seeking to support their installed base.

(3) The use of excess owned ADPE for maintenance by redundancy or cannibalization for a parts source of supply shall not be made unless approved by GSA pursuant to § 201-33.006.

(b) The reutilization of excess leased ADPE is in the nature of a procurement and subject to the applicable laws and regulations governing procurement by Federal agencies. In general, these regulations require that a sole source finding and determination be made and documented, or the equipment be selected as a result of a competitive solicitation, or a finding and determination be documented that the equipment represents the lowest overall cost to the Government.

(c) ADPE acquired under any plan; e.g., fixed term, extended term rental, or other such plan, wherein payments are still due shall be subject to the same conditions as leased ADPE in this Part 201-33.

(d) Since excess leased ADPE accrues substantial purchase option credits, agencies shall consider this equipment as a replacement for installed leased ADPE which has accrued fewer credits to the Government.

(e) When competing requirements exist for excess ADPE, GSA will determine the assignment of such ADPE to any agency on the basis of the greatest economic advantage to the Government.

§ 201-33.003-3 Reporting excess or exchange/sale ADPE.

Upon determination by a Federal agency that Government-owned or -leased ADPE is excess to its needs or Government-owned ADPE will be replaced pursuant to the exchange/sale authority of FPMR Part 101-46, this information shall be reported as set forth in § 201-33.011.

§ 201-33.004 Availability list.

GSA publishes and distributes an availability list to inform Federal agencies of available excess and exchange/sale ADPE. This list is published approximately every 2 weeks.

(a) Agencies shall ensure the widest possible distribution of availability lists to achieve full consideration for reutilization of available ADPE.

(b) Requests for additions, changes, and deletions to the mailing list for the availability list shall be made to the General Services Administration (KHE), Washington, DC 20405. Agencies sponsoring contractors or grantees, when forwarding requests for distribution of the availability list to such contractors or grantees, shall include the appropriate grant or contract number in their request.

(c) Requests concerning the availability of ADPE or for copies of the availability list shall be addressed to GSA (address in § 201-33.004(b)).

§ 201-33.005 Want list and holds.

GSA maintains records of want list requirements and holds as defined in § 201-2.001. Requests to establish want list requirements or holds may be made by telephone or letter (address in § 201-33.004(b)).

(a) Want list requirements are maintained by GSA for a period of 6 months. When excess ADPE becomes available, GSA will notify the requesting agency. If the agency determines that the excess ADPE will satisfy the need, the want list requirement will be canceled and a hold established as indicated in paragraph (b) below. Want list requirements are automatically canceled 6 months from the date they are established. Agencies shall renew want list requirements if they are not satisfied during the 6-month period and the equipment is still desired.

(b) GSA, in response to requests of Federal agencies, will establish holds on excess ADPE which is available for reutilization. Holds are established in numerical sequence based upon the time requests are received. Excess ADPE will be transferred to the agency having the first recorded hold provided a properly completed SF 122, Transfer Order Excess Personal Prop-

erty, is received by GSA within 15 workdays from the date the hold was established and that no other recorded requirement has compelling factors or will result in greater economic advantage to the Government.

§ 201-33.006 Requests for transfer of excess ADPE or exchange/sale ADPE.

Requests for transfer of excess ADPE or reimbursable transfer of exchange/sale ADPE between Federal agencies shall be accomplished in accordance with this Part 201-33 by completing an SF 122, Transfer Order Excess Personal Property. (Transfers of excess ADP supplies and support items with a unit OAC of $1,500 or less shall be accomplished by the Federal Property Resources Service in accordance with FPMR Subpart 101-43.3.) The SF 122 shall contain the name and telephone number (commercial and FTS) of the agency official to be contacted regarding transportation details.

(a) The SF 122 (illustrated in Appendix E) shall be signed by an authorized official of the requesting agency when the ADPE is to be used by the agency or by a Federal contractor or grantee of the agency. All SF 122s furnished by a Federal agency for excess or exchange/sale ADPE to be used by the agency or by Federal contractors shall provide the contract number under which the excess or exchange/sale ADPE is to be acquired and the expiration date of the contract. All SF 122s furnishing excess ADPE to project grantees shall affirm that the transfer is requested for use by a project grantee in accordance with this Part 201-33 and shall include the name of the project grantee, the grant number, the scheduled date of grant termination, and the purpose of the transfer. If a transfer is being requested pursuant to § 201-33.010-2(e), the transfer order shall certify that, upon transfer of the ADPE, the granting agency will deposit to miscellaneous receipts in the U.S. Treasury an amount equal to 25 percent of the original acquisition cost (as documented by GSA) less the cost of care and handling.

(b) When excess owned ADPE is to be used for maintenance by redundancy or cannibalization for a parts source of supply, a statement to indicate such use shall be included on the SF 122. When title to excess owned ADPE is to be vested in a Federal grantee or title is to otherwise pass from the Federal Government, a statement to indicate this fact shall be included on the SF 122. Title will not be transferred unless such a statement is included. Preference will be given to Federal agency requests and to requests which will retain title in the Federal Government.

(c) An SF 122 used for requesting excess leased or exchange/sale ADPE shall contain a statement to indicate either that the requested equipment represents the least overall cost or that a sole source determination has been made and documented. In either case, if the equipment cost exceeds the dollar threshold established in Part 201-23, then a delegation of procurement authority is required. Federal agency requests for the provision of excess to satisfy contractor requirements will be considered secondary to Federal agency requirements.

(d) The original and four copies of the SF 122 shall be submitted for approval to the General Services Administration (KHE), Washington, DC 20405.

(e) GSA will forward the original of the approved SF 122 to the holding agency and one copy to the requesting agency.

(f) If the approved SF 122 is for the transfer of excess leased ADPE, the requesting agency shall provide appropriate notice to the supplier in accordance with the applicable contract.

(g) If the transfer order (approved SF 122) does not contain complete shipping instructions, the requesting agency shall transmit such instructions to the holding agency within 15 workdays after receipt of the transfer order in the case of domestic shipments, or 45 workdays in the case of export shipments.

(h) The holding agency shall inform GSA of failure to receive shipping instructions.

(h-1) When the SF 122 requests shipment of equipment outside of the 48 conterminous States, the requesting agency may be required either to ar-

range shipment from the holding site or to arrange shipment from a specified point of debarkation within the 48 conterminous States.

(i) When the approved SF 122 indicates the ADPE is to be picked up by the requesting agency, the shipment shall be accomplished within 20 workdays from the time the requesting agency is notified by the holding agency that the shipment is ready. The holding agency shall inform GSA when the ADPE is not picked up within the allotted time.

(j) The holding agency shall ship or deliver the excess ADPE within 20 days after receipt of the SF 122 or receipt of complete shipping instructions as provided in § 201-33.006(g), whichever is later. If for any reason the holding agency is unable to ship or deliver within this established time frame, the holding agency shall promptly inform the requesting agency of the reason for delay and provide a revised shipping or delivery date.

(k) Operating manuals, parts lists, circuit or wiring diagrams, maintenance records, logs or other instructional or informational publications pertaining to the ADPE shall be shipped with the equipment.

(l) All cables, terminators, junction boxes, or other devices used with the ADPE shall be identification tagged, itemized on packing lists, and shipped with the equipment.

(m) The holding agency is responsible for billing and collecting the reimbursement requested when reimbursement under the exchange/sale authority FPMR Part 101-46 or other authority.

§ 201-33.007 Care and handling of excess or exchange/sale ADPE.

(a) The reporting or holding agency shall be responsible for and bear the costs of care and handling or excess or exchange/sale ADPE pending disposition. In cases where reported Government-owned excess ADPE has potential for replacement of leased ADPE, GSA will require the holding activity to obtain a certificate of maintenance acceptability or an estimate to refurbish. If the holding agency has allowed the maintenance contract on ADPE to lapse and/or allowed the warehousing of ADPE and if subsequent refurbishment for purposes of reutilization is required, the holding agency shall be responsible for those refurbishment charges. Only direct costs incurred incident to a transfer (such as packing, loading, and transporting) shall be borne by the requesting agency when billed by the holding agency. Overhead or administrative costs, equipment disconnect charges, and other costs not directly related to and resulting solely from requests for transfer shall not be included. The requesting agency shall be responsible for any movement or temporary storage required after the date the transfer is approved; transportation of ADPE to the requesting agency; and rental costs, if any, for excess leased ADPE over the allowable free rental period in the applicable contract. Any question or controversy regarding responsibility for costs shall be referred for resolution to the General Services Administration (KHE), Washington, DC 20405. The holding agency is not required to retain excess leased ADPE in a lease status when the reporting requirements of § 201-33.011 have been satisfied.

(b) When it is necessary to place ADPE in temporary storage, such ADPE shall be properly packed and placed in an area that is protected from the elements and unauthorized cannibalization. The movement and storage of ADPE shall be supervised by personnel specializing in movement and storage.

§ 201-33.008 Donation and sale of surplus ADPE.

Government-owned ADPE reported in accordance with § 201-33.011 and not reutilized by Federal agencies shall be held by the reporting agency pending compliance with the requirements of FPRM Parts 101-44 and 101-45.

§ 201-33.009 Use of the ADP Fund.

(a) Excess Government-owned ADPE having a fair market value, as may be announced in the ADPE Availability List, and which is to be reutilized within the Federal Government,

may be transferred to the ADP Fund. Such ADP Fund equipment will be leased to requiring agencies at a cost that represents the least cost alternative available to agencies.

(b) When excess leased ADPE with purchase option credits or exchange/sale ADPE can satisfy agency data processing requirements, GSA will consider using the ADP Fund to purchase the equipment for the requesting agency.

§ 201-33.009-1 General conditions of an ADP Fund lease.

The leasee shall—

(a) Be responsible for all charges, if any, for transportation, rigging and drayage, packing, and crating of equipment under the lease agreement;

(b) Be responsible for the expense of any necessary alterations or attachments subsequently installed on the equipment;

(c) Be responsible for any expenses necessary to remove any attachment installed under paragraph (b) of this section if requested by the lessor;

(d) Arrange and pay for any technical equipment modifications;

(e) Pay for equipment maintenance (The equipment shall be kept under continuous maintenance during the period of the agreement.);

(f) Provide written notice to GSA prior to any relocation of equipment to other sites;

(g) Be responsible for periodic confirmation of detailed property accountability records, which shall be maintained by GSA; and

(h) Retain use of the equipment as long as required under the terms and conditions of the agreement. (Ownership of the equipment shall remain with the ADP Fund.)

§ 201-33.009-2 Reporting ADP Fund equipment excess.

Ninety calendar days before the anticipated release date of ADP Fund equipment, the leasing agency shall notify the General Services Administration (KXMA), Washington, DC 20405, by letter, of its intention to discontinue the lease. An SF 120, Report of Excess Personal Property, clearly marked with the words "ADP Fund" shall be enclosed.

§ 201-33.009-3 Transfer of ADP Fund equipment.

In followup to a telephone reservation of ADP Fund equipment, the requesting agency shall submit a letter of commitment to the General Services Administration (KHE), Washington, DC 20405. This letter shall include the lease term and the dollar amount of the lease agreement (as discussed), the agency point of contact (with address and telephone number), the shipping address and instructions, and the applicable agency appropriation symbol. GSA then will prepare the SF 122, Transfer Order Excess Personal Property, to initiate equipment shipment and will submit the lease agreement and the approved SF 122 to the requesting agency's designated official.

§ 201-33.009-4 Guarantee of ADP Fund equipment.

(a) Agencies participating in the leaseback program shall pay charges for transportation of the equipment to the designated site(s); obtain an estimate of refurbishment to bring the ADP Fund equipment up to maintenance standards; and within 6 months of the date that GSA sends the ADP Fund lease, forward the estimate of refurbishment to the General Services Administration (KHE), Washington, DC 20405.

(b) If GSA authorizes the leasing agency in writing to proceed with refurbishment, GSA will reimburse the agency in the amount authorized for the inspection and refurbishment costs upon receipt of an SF 1080, Voucher for Transfers Between Appropriations and/or Funds, or SF 1081, Voucher and Schedule of Withdrawals and Credits. GSA will not reimburse the leasing agency for transportation costs.

(c) If GSA decides not to authorize the agency to proceed with the refurbishment on a reimbursable basis, GSA will offer the equipment to the agency "as is" on a no-cost basis. If the agency accepts the offer, GSA will not reimburse the agency for transportation, inspection, or refurbishment costs, and the agency may use the equipment as long as required without

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reimbursement to GSA. If the agency does not accept this offer, GSA will reimburse the agency for transportation and inspection costs and will forward shipping instructions to the holding agency.

§ 201-33.009-5 Use of the ADP Fund for acquisition of exchange/sale ADPE.

(a) A Federal agency may seek use of the ADP Fund if it determines that the acquisition is economically advisable and the following requirements are met and can be certified.

(1) The applicable provisions of the FIRMR have been complied with.

(2) The agency does not have funds programmed, nor can it reprogram funds for this purpose.

(3) The agency cannot divert funds planned for other ADPE procurements with lesser rates of return, if any, for this purpose.

(4) The proposed acquisition of a new system is consistent with the agency's presently authorized programs, and the need for the ADPE has been approved by OMB. (For purposes of this paragraph, a "new system" is defined as any acquisition other than purchase of presently installed ADPE with like equipment.)

(5) When the procurement action involves purchase of like equipment to replace installed systems, a study shall be made to determine that there is a continued economic justification of in-house ADPE as opposed to alternate sources such as the use of other agency equipment or commercial service bureaus. Agency studies should be consistent with the guidelines of OMB Circular A-76. As required, GSA will forward the agency certification to OMB.

(b) In followup to a telephone reservation (see § 201-33.005) on exchange/sale ADPE proposed to be acquired through the ADP Fund, the requesting agency shall submit a letter of intent to the General Services Administration (KHE), Washington, DC 20405. This letter shall include the projective period of equipment use: the requested terms of reimbursement, e.g., quarterly reimbursement for 3 years; the agency point of contact (with address and telephone number); and the shipping address, instructions, and fund citations for transportation and ADP Fund reimbursement. In addition, there shall be certifications which specify the Federal agency's compliance with the conditions listed in paragraph (a) of this section.

(c) The use of the ADP Fund for the acquisition of exchange/sale ADPE must be approved by GSA.

§ 201-33.010 Use of excess ADPE on cost-reimbursement type contracts and project grants.

This section provides policies and procedures for use of excess ADPE on cost-reimbursement type contracts, grants, and project grants.

§ 201-33.010-1 Use of excess ADPE on cost-reimbursement type contracts.

(a) Federal contractor requirements will be considered secondary to Federal agency requirements.

(b) Excess ADPE can be used to reduce the Government's contract costs and shall be considered by Federal agencies in their cost-reimbursement type contracts. For the purpose of this section the term "cost-reimbursement type contract" means a type of contract providing for payment to the contractor of allowable costs incurred in the performance of the contract. The use of excess ADPE instead of payment offsets allowable costs and thereby reduces the total cost of the contract.

(c) If a contract provides for the use of excess ADPE, it shall also include adequate safeguards to insure the authorized use, maintenance, and return to Government custody of Government-furnished property. Accountability for such property shall be subject to audit by the contracting Federal agency and by the General Accounting Office.

(d) If a determination is made by the contracting Federal agency that the use of excess ADPE will result in a reduction of the contract cost to the Government or in an enhancement of the product or benefit of the contract, excess ADPE may be furnished to a contractor in accordance with § 201-33.006. The transfer order must certify the cost reduction or product enhance-

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ment and shall be executed by an authorized official of the contracting agency and forwarded to the General Services Administration (KHE), Washington, DC 20405.

(e) Generally, title to Government-furnished excess property remains vested in the Government; however, certain Federal agencies have specific statutory authority to vest title in contractors. When competing Federal requests are made on an item of excess ADPE, GSA will give the lowest priority to a request which vests title in the contractor.

(f) Upon expiration of a contract, Govenment-furnished ADPE may be reassigned to other Federal activities within the agency or to its cost-reimbursement type contractors.

§ 201-33.010-2 Use of excess ADPE on grants: Eligibility.

Federal agencies are prohibited from obtaining excess ADPE to furnish to their grantees, except as follows:

(a) Excess ADPE which GSA determines is not needed for donation under FPMR Subparts 101-44.2 and 101-44.4, may be transferred under section 608 of the Foreign Assistance Act of 1961, as amended (22 U.S.C. 2358).

(b) Excess ADPE may be furnished through the U.S. Forest Service under section 203 of the Department of Agriculture Organic Act of 1944 (16 U.S.C. 580a) for use in connection with cooperative State forest-fire-control programs, provided that title to the ADPE is retained in the Government.

(c) Excess ADPE may be furnished in connection with grants to Indian tribes (as defined in section 3(c) of the Indian Financing Act (25 U.S.C. 1452(c)). Title may be vested in the grantee pursuant to specific statutory authority only.

(d) Excess scientific equipment (which includes ADPE as defined by § 201-2.001) may be transferred pursuant to section 11(e) of the National Science Foundation Act of 1950, as amended (42 U.S.C. 1870(e)).

(e) Excess ADPE may be otherwise transferred with title by Federal agencies to their projects grantees only when all the following conditions apply:

(1) The non-Federal recipient is an institution or organization which is either a public agency as defined in FPMR § 101-44.001-10 or is nonprofit and exempt from taxation under section 501 of the Internal Revenue Code of 1954, and

(2) The property will be furnished to the non-Federal recipient for use in connection with a federally sponsored project pursuant to a grant made for specific purpose with a specific termination date, and

(3) Authorization for the project grantee to use excess property is contained in the grant document, and

(4) A determination has been made by the sponsoring Federal agency that the acquisition will result in a reduction of cost to the Government or in enhancement of the product or benefit from the grant, and

(5) The property will not be stockpiled by the project grantee but will be placed into use within a reasonable period of time (as determined by the granting agency) following acquisition, and

(6) Transfer of ADPE will be accomplished in accordance with § 201-33.006 and approved by an authorized Federal official of the granting agency, and

(7) The sponsoring Federal agency deposits in miscellaneous receipts of the U.S. Treasury an amount equal to 25 percent of the original acquisition cost (as documented by GSA) less the costs of care and handling.

§ 201-33.010-3 Use of ADPE on project grants: Federal and project grantee responsibility.

The use of excess ADPE furnished to project grantees as provided in § 201-33.010-2 (d) and (e) is also subject to the following provisions:

(a) Grantee accountability for and disposal of such ADPE shall be governed by procedures established by the granting agency.

(b) Federal granting agencies shall limit the amount (in terms of original acquisition cost) of excess personal property transferred to a project grantee to the dollar value of the grant. Transfers in excess of this amount shall be fully justified. Feder-

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al approval or disapproval shall be made at a level above the project officer administering the grant.

(c) Federal granting agencies shall ensure that the provisions for use, maintenance, and return to Government custody or other disposal procedures for excess ADPE are included in the grant document.

(d) Federal grantor agencies shall develop and maintain procedures for the prevention or detection of situations involving the nonuse, improper use, or unauthorized disposal or destruction of excess ADPE loaned to or vested in grantees. This responsibility shall include compliance reviews, field inspections, and other enforcement procedures to monitor such property.

(e) Federal grantor agencies shall include the following information in their grant recordkeeping systems:

(1) The number of grantees using excess property;

(2) Total dollar value of property loaned to or vested in all grantees;

(3) Dollar value of property loaned to or vested in each grantee;

(4) Acquisition cost of loaned or vested items;

(5) Dollar value of each grant;

(6) Percentage of acquisition cost of loaned or vested excess property to the dollar value of each grant; and

(7) Date(s) of grant termination.

NOTE: Records are subject to audit by the Federal granting agency and by the General Accounting Office.

(f) Except when specifically authorized by statute to vest title in the grantee, Federal agencies, upon termination of a project grant in whole or in part, shall reassign Government-furnished ADPE to other Federal activities within the agency or to its cost-reimbursement type contractors. If no reassignment is made, the ADPE shall be reported as excess by the agency to GSA in accordance with § 201-33.011 and held by the grantee in accordance with §§ 201-33.007 and 201-33.008.

(g) Property obtained by a Federal agency from excess sources for other purposes shall not subsequently be furnished to a project grantee. (See § 201-33.002(d).)

§ 201-33.011 Reporting excess or exchange/sale ADPE.

Excess ADPE or exchange/sale ADPE shall be reported on an original and four copies of SF 120, Report of Excess Personal Property (illustrated in FAR 53.301-120), and when necessary, SF 120A, Continuation Sheet (Report of Excess Personal Property). [Excess auxiliary or accessorial automatic data processing equipment, as defined in paragraph (a)(2) of the definition of "automatic data processing equipment (ADPE)", in § 201-2.001, with an OAC of $1,500 or less shall be reported to the Federal Property Resources Service for regional office screening in accordance with FPMR § 101-43.4801.] Any questions should be referred to the General Services Administration (KHE), Washington, DC 20405, for resolution.

(a) The SF 120 shall be submitted to the above address by the holding agency at least 60 calendar days before the anticipated release date as determined by the holding agency. This report is exempt from reports control in accordance with FIRMR Subpart 201-45.6. Excess ADPE in the hands of Government contractors may be reported on an appropriate contractor inventory appended to an SF 120, provided that the reporting format includes an adequate commercial description and other appropriate data required by paragraph (b) of this section.

(b) The SF 120 shall include the appropriate condition code designation as defined in FPMR § 101-43.4801 and shall contain the manufacturer's name, equipment type and model number, and full description of the ADPE to determine whether the ADPE may satisfy another agency's requirement. Since ADPE suppliers have adopted no uniform method of identifying certain ADPE systems, components, features, cables, or other devices, such as terminators and junction boxes used with the equipment, the complete nomenclature for this equipment as used by the supplier shall be identified and reported on the SF 120. Parts or devices shall not be removed after reporting the ADPE to GSA as excess. If any part or device

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has been removed from the ADPE, a statement identifying those parts or devices shall be made on the SF 120. In addition, the status of each individual component and feature shall be shown to indicate whether it is leased, purchased, or leased with option to purchase, the fair value shall be shown on the SF 120. The fair value is the difference between the original acquisition cost and accrued purchase option credits. Government-owned and -leased ADPE shall not be reported on the same SF 120.

(c) By the time Government-owned ADPE becomes excess to an agency's needs it may be outdated in relation to new technology, or the supplier may no longer produce the equipment or develop and maintain software necessary for the operation of equipment. Accordingly, information such as the availability of software packages, engineering drawings, maintenance manuals and other technical literature relating to Government-owned ADPE shall be included on the SF 120. The SF 120 shall include the notation "Outdated ADPE" when the ADPE meets the definition set forth in § 201-2.001.

(d) The words "Exchange/Sale Property" and the statement: "A written administrative determination has been or will be made to apply the exchange allowance or proceeds of sale to the acquisition of similar items by other than lease" shall be displayed prominently on the original and four copies of the SF 120 when reporting ADPE that is to be replaced pursuant to exchange/sale provisions of FPMR Part 101-46. Lease includes the acquisition of ADPE under any plan, e.g., fixed term, extended term rental, or other such plan wherein payments are still due. Without exception, both cash (sale) or exchange (trade-in) offers shall be solicited. The acquisition costs and the reimbursement required, which shall not be greater than the cash (sale) or exchange (trade-in) offer that the reporting agency has received for the specific ADPE, shall be shown on the SF 120. In addition, the following information must be forwarded with the SF 120:

(1) The identity of the offeror of the cash or exchange offer (enclose copy of offer with the SF 120);

(2) The type of replacement equipment;

(3) The method of acquisition for the replacement equipment;

(4) The anticipated purchase price for the replacement equipment;

(5) The delegation of procurement authority (DPA) number assigned by GSA for the replacement equipment if a DPA is required; and

(6) The name and telephone number of the contracting officer. Until this information is received, the equipment will not be entered into exchange/sale screening. Exchange/sale reports received with inadequate screening time (in noncompliance with the 60 day requirement in this § 201-33.011), will be disapproved and entered into screening as excess ADPE. If there is any change to a cash or exchange offer subsequent to the submission of an SF 120, a revised SF 120 indicating the new cash or exchange offer shall be promptly submitted to GSA. Agencies will be advised promptly, in writing, of the date the original or revised SF 120 is received by GSA. Such equipment shall not be sold or exchanged prior to written authorization from GSA. (SF 120 is illustrated in Appendix E of the looseleaf edition of the FIRMR.)

(e) Excess ADPE that is located on or within excess real property falling under the provisions of FPMR Part 101-47 shall be reported in accordance with this § 201-33.011. The SF 120 reporting this excess ADPE to GSA shall be so annotated.

[FIRMR Amdt. 1, 50 FR 4384, Jan. 30, 1985, as amended by FIRMR Amdt. 7, 51 FR 9960, Mar. 24, 1986]

§ 201-33.011-1 Assignment of Automatic Release Date.

GSA will assign an Automatic Release Date (ARD) and a case number to each SF 120 and will promptly advise the reporting agency of this action in writing. When it is necessary to extend an assigned ARD in order to reutilize ADPE, GSA will coordinate such action with the reporting agency.

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§ 201-33.011-2 Withdrawal of reports of excess or exchange/sale ADPE.

(a) A written request (letter or amended SF 120) for the withdrawal 120 will normally be approved by GSA only if received within 15 workdays from the date the SF 120 was received by GSA. This request shall reference the assigned GSA case number and provide a statement which indicates the specific use to be made of the withdrawn equipment. Examples of specific use are contained in § 201-33.003-2(a)(2). Disposition of property shall not be made until after approval of withdrawal is received from GSA. GSA will not approve the withdrawal of equipment for cannibalization or maintenance by redundancy until it is first determined that there is not a more economical use within the Government.

(b) Agencies shall not request withdrawal of excess ADPE for other uses unless fully justified in accordance with agency approval procedures and cost benefit analyses which take into account the program and cost benefits to be derived by the new uses of the ADPE, the cost of operating and maintaining the ADPE, and, alternatively, the cost of acquiring and operating other ADPE to serve the same purposes.

(c) ADPE withdrawn in accordance with these provisions which subsequently becomes excess must be reported excess again in accordance with the provisions of § 201-33.011.

§ 201-33.011-3 Corrections to reports of excess or exchange/sale ADPE.

Corrections to previously submitted reports of excess or exchange/sale ADPE shall be made on a properly completed SF 120 which references the assigned GSA case number.

§ 201-33.011-4 Annual reporting requirements.

FPMR Subpart 101-43.47 provides guidance on the annual reporting requirements on the utilization and disposal of all personal property.

§ 201-33.012 Reuse of outdated ADPE.

(a) Outdated ADPE may be used to satisfy requirements only if it is the lowest overall cost means of fulfilling the Government need, price, and other factors considered over the system/item life. Requesting agencies shall conduct an obsolescence review in accordance with § 201-30.009-2 before they make a request to reuse outdated ADPE including exchange/sale and excess ADPE. GSA will not list outdated ADPE on availability lists. GSA will normally process the SF 120 for excess ADPE that is outdated directly to the GSA regions for surplus disposal after review as provided in paragraph (b) of this section. GSA will review the SF 120 for exchange/sale ADPE that is outdated prior to processing as provided in paragraph (b) of this § 201-33.012.

(b) Agencies may initiate action to request transfer and reuse of outdated ADPE in accordance with the following procedures.

(1) Under certain limited circumstances reuse of outdated ADPE will provide the lowest overall cost solution to satisfying an ADP requirement. When an agency determines it has such a requirement, it shall provide a description of the ADPE and a copy of the obsolescence review to GSA (KMA), Washington, DC 20405. This GSA office will review the justification and either (i) approve the request and advise GSA (KHE) to authorize transfer to the agency as an exception to normal procedures if such equipment is reported or (ii) advise the requesting agency of GSA denial of the reuse. When GSA (KMA) approves the request, GSA (KHE) will hold the request on a "match list" for review against incoming SF 120's and advise the requesting agency. When a match is made, the requesting agency will be authorized to submit an SF 122 to GSA in lieu of surplus disposal or reimbursable sale of the outdated ADPE. Agency requests will expire on the first anniversary of placement on the "match list" unless the requesting agency submits an extension request to GSA (KHE) stating that the equipment is still required. The extension shall expire after six additional months.

(2) If the SF 120 submission is for exchange/sale ADPE that is outdated, GSA will notify the agencies on the "match list" of the amount of the ex-

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change reimbursement anticipated to the holding agency. Requesting agencies shall, in response, determine whether the outdated ADPE will still provide the lowest overall cost solution when the reimbursement from the requesting agency to the holding agency is taken into account.

[FIRMR Amdt. 7, 51 FR 9960, Mar. 24, 1986]

PART 201-34—SUPPORTING ADP ACTIVITIES

Sec.

201-34.000 Scope of part.
201-34.001 [Reserved]
201-34.002 Computer performance evaluation and ADP simulation.
201-34.002-1 The Federal Computer Performance Evaluation and Simulation Center (FEDSIM).
201-34.002-2 Joint Policy Committee for ADP simulation.
201-34.003 [Reserved]
201-34.004 Environmental and physical security of data processing facilities.
201-34.005 [Reserved]
201-34.006 Care and handling of magnetic computer tape.
201-34.006-1 Magnetic computer tape.
201-34.006-2 Errors.
201-34.006-3 Care and handling.
201-34.006-4 Cleaning and certifying.
201-34.006-5 Maintenance of tape files.

AUTHORITY: Sec. 205(c), 63 Stat. 390; 40 U.S.C. 436(c).

SOURCE: FIRMR Amdt. 1, 50 FR 4390, Jan. 30, 1985, unless otherwise noted.

§ 201-34.000 Scope of part.

This part prescribes policies and procedures and provides guidance to Federal agencies regarding specific subjects supporting ADP activities.

§ 201-34.001 [Reserved]

§ 201-34.002 Computer performance evaluation and ADP simulation.

§ 201-34.002-1 The Federal Computer Performance Evaluation and Simulation Center (FEDSIM).

(a) *General.* The Federal Computer Performance Evaluation and Simulation Center (FEDSIM) is operated by the Department of Air Force under a delegation of authority from the Administrator of General Services. It provides technical assistance, support, and service on a reimbursable basis throughout the Federal Government for simulation, analysis, and performance evaluation of automatic data processing systems and is the primary source of supply for these services.

(b) *Services available.* (1) Services available nationally are composed of FEDSIM resources and FEDSIM monitored contractual services for computer systems simulation and performance evaluation. These services include simulation languages and packages for computer system simulations, software and hardware monitors for computer system performance evaluation, and special software programs designed to support computer system simulation and performance evaluation efforts, such as accounting systems analysis and workload modeling. The Center's services also include ADP support services such as those provided by simulation analysts.

(2) The services that the Center provides to an agency are intended to be temporary in nature and in response to specific questions or problems. A continous simulation and performance evaluation program in support of individual user operations is not intended.

(c) *Policy for obtaining FEDSIM services.* (1) FEDSIM shall be considered by Federal agencies as a source of supply for ADP simulation and computer performance evaluation requirements, services, and products, including but not limited to computer systems simulators and hardware and software monitors. The Center provides using agencies with these ADP services at the least possible cost to the Government.

(2) The Center advises agencies whether (i) FEDSIM resources or FEDSIM contracts are available; (ii) an ADP schedule is available as a source of supply; or (iii) a new acquisition action is necessary.

(3) Any ADP simulation contracts/schedules issued by General Services Administration (GSA) will include provisions requiring that agencies contact the Center for advice before ordering from these contracts/schedules.

(4) If the Center is unable to fulfill the requirement or if the requirement can be more economically fulfilled

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through commercial sources, the agency may acquire the services.

(d) *Procedures for obtaining FEDSIM services.* (1) Agencies requiring ADP simulation, computer performance evaluation assistance, hardware performance monitors, software performance monitoring packages, or other computer performance evaluation products or services shall contact the Center. The mailing address is: Department of the Air Force, Federal Computer Performance Evaluation and Simulation Center (FEDSIM), Washington, DC 20330-6340.

(2) The Center, consistent with the lowest cost alternative or combination of alternatives, will take one of the following four actions:

(i) Provide services from its own resources on a reimbursable basis to the requesting agency.

(ii) Acquire, on a reimbursable basis, the necessary support from commercial sources for the requesting agency.

(iii) Advise the requesting agency's acquisition activity how to acquire necessary support from the ADP schedule or other existing contractual instruments or how to initiate an acquisition action for the services.

(iv) Recommend to GSA that GSA acquire required resources for the requesting agency (where unusual legal or acquisition policy issues so dictate).

(3) If no action is taken by the Center within 20 workdays after acknowledgment of receipt of full information from an agency involving a request for services, the agency may proceed without further reference to the Center.

(e) *GSA responsibilities.* GSA will periodically reimburse the Department of Air Force from the Automatic Data Processing Fund for its cost applicable to the operation of the Center. GSA will bill users for services provided by the Center.

§ 201-34.002-2 Joint Policy Committee for ADP Simulation.

A Joint Policy Committee for ADP Simulation has been established to provide overall policy guidance for management of the Center. Representatives from the Department of Defense, Department of the Air Force, National Bureau of Standards, and GSA are permanent members of this committee. Temporary membership is extended to agencies that are major users of the services provided by the Center. The Joint Policy Committee reviews and approves rates for services provided by the Center and approves requests for equipment or services required for operation. Disagreements arising between users and the Center which cannot be resolved are to be referred to the Joint Policy Committee for resolution.

§ 201-34.003 [Reserved]

§ 201-34.004 Environmental and physical security of data processing facilities.

Provisions regarding environmental and physical security of data processing facilities are located at Subpart 201-7.2.

§ 201-34.005 [Reserved]

§ 201-34.006 Care and handling of magnetic computer tape.

This § 201-34.006 provides guidelines to be used by Federal agencies in the care and handling of magnetic computer tape. Assistance regarding the guidelines is available from the General Services Administration (KMA), Washington, DC 20405.

§ 201-34.006-1 Magnetic computer tape.

Magnetic computer tape is a thin strip of oxide-coated plastic material used in certain computer systems for storage of large volumes of data. In use, the tape is passed across a read/write head of a computer input/output device and magnetic indications or bits are placed in the tape in the form of magnetically polarized spots. The intimacy between the tape and the read/write heads is critical. For example, when used at 800 bits per inch the separation should not exceed 0.00014 inch. If the separation is increased to 0.00046 inch, the tape will not read or write. That amount of separation can easily be caused by foreign particles on the tape or damage to it. It is, therefore important that the procedures provided in this § 201-34.006 for the care and handling of magnetic computer tape be adhered to as a means of minimizing unproduc-

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tive downtime and related costs caused by dirty or damaged tapes.

§ 201-34.006-2 Errors.

(a) A point at which tape will not read or write is called an "error." This could be an area where the oxide is missing; the tape is wrinkled, creased, or has edge damage; or where something has adhered to the oxide which forces the surface of the tape to be moved away from the read/write head. An ADP operating system (software) will normally respond to an error condition by stopping the tape, backspacing, and attempting repeatedly to read or write. This is a costly operation even if recovery is possible without rerun. In a typical situation it would be more economical to use a new tape than to run 50 passes of a tape with 20 recoverable errors. The cost of reruns necessitated by nonrecoverable errors may drastically reduce the acceptable number of error conditions which should be tolerated on tapes for particular applications.

(b) For increased effectiveness and efficiency in ADP operations, agencies should maintain statistics on tape errors for each magnetic computer tape used. Statistics should also be collected for each tape drive to assist in spotting individual tape drives that are damaging tape or causing false indications of tape errors. Data on the number of tape errors and the number of retries made in an effort to force the tape to read or write at an error location can be used (1) to determine whether a tape containing errors should be discarded or retained and restored by cleaning; and (2) as an indication of dust and other environmental conditions within the installation requiring corrective action.

§ 201-34.006-3 Care and handling.

(a) Reels of magnetic computer tape shall be handled only when necessary since each handling increases the possibility of damage to the tape. While it is inevitable that magnetic computer tape will acquire errors, tape errors can be minimized by proper handling. Canisters or wraparound rings should be used to protect the reel and tape during handling and storage. Maximum protection is afforded by use of the canisters usually supplied by the tape manufacturers, since those canisters provide a dust-free environment and support the reel by the hub. However, many ADP facilities use wraparound rings instead of canisters because of savings in storage space. While the wraparound rings do not afford the same dust protection or physical protection provided by the canisters, they can be effective when handled properly. When wraparound rings are used, the reels shall be handled in such a manner as to prevent the reel flanges from being squeezed and causing tape-edge damage. Care should be taken also to insure that proper size rings are used and that they are not defective, for either condition may cause tape-edge damage. Before the rings are removed, dust accumulations on the exposed reel flanges should be removed with a dust absorbent cloth to prevent the dust from contaminating the tape. This dusting should ordinarily be performed by the tape librarian before the tape is issued.

(b) Magnetic computer tape, whether protected by canisters or wraparound rings, should be handled in accordance with the following basic safegaurds:

(1) Tape should be stored in a temperature and humidity environment equivalent to that of the computer room in which it will be used or kept 24 hours in such an environment before being used.

(2) Tape should be stored in a vertical position. When not in use, tape should not be exposed outside of its protective container.

(3) Empty tape canisters should not be left open to permit entry of dust or other contaminants. Wraparound rings should be hung in a clean area when not in use.

(4) A clean stopper should always be used with tape canisters.

(5) Rubber stoppers should never be used with wraparound rings as the extra thickness may emboss the tape.

(6) Tape reels should always be handled by the hub and never by the flanges. They should be laid down flat and never tilted or hit on the edge. If dropped, they should be checked immediately for cracked flanges and the

tape should be inspected as soon as possible for edge damage.

(7) Takeup reels should be removed periodically and checked for dirt or other contamination inside the flange and hub areas. Such reels should also be checked periodically for signs of warping or cracks at the hub.

(8) Tape leaders should not be left to lie on a table or floor or exposed to contaminating surfaces.

(9) Tape drives should be checked periodically for contamination. As a minimum requirement, the entire tape path should be cleaned after every 8 hours of operation or more frequently if recommended by the manufacturer.

(10) Read/write heads, braking and driving capstans, and pulleys should be cleaned commensurate with use and checked daily for surface burrs, nicks, or distortions which may scar the tape.

(11) Vacuum columns should be checked daily during the course of operation for accumulation of foreign matter at the bottom. In addition to being a possible source of contamination, accumulations may impede the vacuum and affect ability of the tape drive to properly handle the tape.

(12) The recording surface of a good tape should never be touched between the BOT indicator and the EOT indicator. BOT and EOT means Beginning of Tape and End of Tape, respectively. When tape is being mounted, the hub should be pushed rather than the flanges. Tape should never be thrown or carelessly handled.

(13) Transport of magnets or magnetic materials into or through computer rooms and tape libraries shall be forbidden. Damage to recorded data can occur when magnetic materials come in direct contact with the tape.

(14) Tape recordings may be accidentally erased if brought into very close proximity to electric motors, aircraft power cables, or into the path of radar signals. The possibility of such exposure should be avoided. The greatest potential for accidental erasure exists when the tape is in transit, therefore, packaging should insure a clearance of 1½ to 2 inches between the tape and the external walls of the container. Packaged tape should be conspicuously labeled "Magnetic Tape" and bear an appropriately worded warning against exposure to magnetic fields, radiation, heat, and other similar conditions. With respect to metal detection devices in use at airports, arrangements should be made for physical inspection of packages containing magnetic computer tape instead of inspection by the electronic detection devices which may destroy any data recorded on the tape.

(c) The environment in which tape is used or stored shall always be as clean as possible because friction between tape and guide surfaces on the tape drives creates an electrostatic charge which attracts airborne particles to the tape. Particles of only 0.00046 inch in size can cause a tape error. Therefore, the elimination of dust, lint, or other foreign matter from equipment in tape libraries, tape storage areas, and tape rehabilitation areas is necessary for efficient operation. The cleanliness of equipment, floors, and contiguous areas, and the control of temperature and humidity within tolerances prescribed by tape equipment manufacturers are essential. In addition to the computer room environmental control procedures provided in § 201-34.004-3, the following safeguards shall be observed:

(1) Traffic in and out of tape libraries, tape storage areas, and tape rehabilitation areas shall be kept to a minimum. Smoking, eating, and drinking in such areas shall be prohibited.

(2) Tape libraries, tape storage areas, and tape rehabilitation areas shall be maintained as free from dust as possible. Air-conditioner filters should be of a type approved by competent authority; e.g., Underwriters Laboratories, for use with tape systems and checked frequently, particularly if an excessive buildup of dust appears on equipment or is otherwise evident. Particular attention shall be given to fiberglass filters since they often fail to prevent the penetration of fine silts and tend to broadcast particles of fiberglass which may be attracted to the tape. For replacement of filters or assistance in dust control, the GSA buildings manager, or other official controlling or operating the building, shall be contacted.

§ 201-34.006-4 Cleaning and certifying.

(a) Magnetic computer tape which contains error conditions frequently can be restored to usefulness by cleaning and/or certifying. The greatest accumulation of tape errors is usually in the first 100 feet of a reel. When this is the case, the most appropriate action is to cut off the contaminated area, relocate the BOT indicator, and continue to use the tape. Usually, the reduced length will not detract from its usefulness. When the tape errors continue throughout the length of the tape, it should be determined if the errors are caused by physical distortion. Physical distortion is usually the result of careless handling and can rarely be corrected. Such errors can be seen as wrinkles, creases, or turned-up edges. Errors, however, caused by foreign matter or self-generating oxide and tape backing ware usually can be removed since they are the result of the accumulation of microscopic particles of foreign matter on the tape surface.

(b) There are three processes in the rehabilitation program for restoring tape. The equipment and restoration procedures are described briefly, as follows:

(1) *Tape cleaning.* Tape may be cleaned by using tape cleaning equipment which passes the tape over a knife edge to remove any contaminants from the oxide surface. This equipment can remove approximately 90 percent of the tape errors caused by dirt or redeposits of oxide or backing material. Also the tape pile is smoothly wound as a result of precision winding and programed tension winding. Tape cleaning equipment of this type is capable of cleaning approximately six tapes per hour, including setup and takedown time. One operator should be capable of operating two tape-cleaning machines simultaneously. It should be noted that this process will not indicate the condition of a tape before or after cleaning. This process will not destroy data recorded on the tape.

(2) *Tape cleaning and testing.* Tape may be cleaned and tested by using a cleaner/tester. This equipment will, in addition to cleaning the tape as in (b)(1), above, perform a nonstop inspection by writing on and reading the tape and will automatically determine the condition of the tape by indicating the number of transient and permanent errors and their location. As a result of this process, the condition of the tape is known and a determination can be made to (i) return the tape to operation, (ii) send the tape to certification and repair, or (iii) replace the tape. Tape cleaning and testing equipment of this type is capable of processing approximately four tapes per hour. One operator should be capable of operating two tape cleaning and testing machines simultaneously. This process will destroy data recorded on the tape.

(3) *Tape cleaning and certification.* Tape may be cleaned and certified by using tape certification equipment. Such equipment, in addition to cleaning the tape as in (b)(1), above, locates and stops at every error which was not removed by the initial cleaning and the operator, using a microscope, endeavors to remove the error with a scalpel. The completed certification process usually restores the tape to near error-free condition with the number and location of remaining errors indicated. A proficient operator can operate two certifiers at one time. Certification requires approximately 15 minutes for each reel of tape. This process will destroy data recorded on the tape.

(c) Data processing centers should perform or have tape cleaning and/or certifying performed when economically justified. If cleaning and/or certifying is to be performed, it should conform to the latest applicable specifications developed by the National Bureau of Standards, U.S. Department of Commerce.

§ 201-34.006-5 Maintenance of tape files.

To prevent the loss of valuable information recorded on computer magnetic tape, in addition to the other stipulations of this § 201-34.006 the following standards shall apply to the maintenance of tape files that are scheduled for long-term retention:

(a) Tapes shall be tested and certified within at most 6 months before

they are used to record information for long-term retention.

(b) When tapes are written, they shall be verified as error free.

(c) For tapes in inactive storage, a 3 percent statistical sample of all reels of archivally valuable tape files shall be read annually to identify any loss of data and to discover its causes. Measures shall be taken to eliminate the causes of errors. Tapes with 10 or more errors shall be replaced and, when possible, lost data shall be restored.

(d) For tapes in active use, whenever 10 or more errors occur within a reel, the tape shall be examined to determine the causes of the errors. When the errors are due to permanent tape damage, the file shall be transferred to certified tape. When the errors are correctable, appropriate measures such as cleaning and rewinding under programed tension shall be applied.

(e) To prevent loss of information due to changing technology or to the aging of the storage medium, when appropriate, files shall be rewritten and/or transferred to another machine-sensible medium.

PARTS 201-35—201-37 [RESERVED]

PART 201-38—MANAGEMENT OF TELECOMMUNICATION RESOURCES

Sec.
201-38.000 Scope of part.
201-38.001 General. [Reserved]
201-38.002 Planning.
201-38.003 Controlling and reviewing. [Reserved]
201-38.004 Privacy.
201-38.005 Security.
201-38.006 Standards.
201-38.007 Use of telecommunication services.
201-38.008 Use of toll-free telephone services.
201-38.008-1 Agency responsibilities.
201-38.008-2 GSA responsibilities.
201-38.009 [Reserved]
201-38.010 Analysis of data communications requirements.
201-38.011 Agency surveys and inventories of telephone station equipment.
201-38.011-1 Guidelines.
201-38.012 Use of functional telecommunications system specifications.
201-38.013 [Reserved]
201-38.014-1 Submission of requirements to GSA.
201-38.014-2 GSA actions.
201-38.014-3 Review of proposed determinations by the Office of Management and Budget.
201-38.015 Competition.
201-38.016 Acquisition policies.
201-38.017 GSA provided service through the FTS.

AUTHORITY: Sec. 205(c), 63 Stat. 390; 40 U.S.C. 486(c).

SOURCE: FIRMR Amdt. 1, 50 FR 4393, Jan. 30, 1985, unless otherwise noted.

§ 201-38.000 Scope of part.

This part prescribes policies and procedures for the management of telecommunication resources.

§ 201-38.001 General. [Reserved]

§ 201-38.002 Planning.

Agencies shall follow applicable provisions of Part 201-16 in the management of telecommunication resources.

§ 201-38.003 Controlling and reviewing. [Reserved]

§ 201-38.004 Privacy.

Agencies shall follow applicable provisions of Part 201-6 regarding telecommunication privacy and related matters. Policies and procedures regarding listening-in or recording telephone conversations are also in Part 201-6.

§ 201-38.005 Security.

Agencies shall follow applicable provisions of Part 201-7 in the management of telecommunication resources.

§ 201-38.006 Standards.

Agencies shall follow applicable provisions of Part 201-8 in the management of telecommunication resources.

§ 201-38.007 Use of telecommunication services.

The FTS and other Government-provided long distance telephone services are for official Government business only (see 43 Comp. Gen. 163). These networks are to be used for placement of calls instead of the commercial toll network to the maximum

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extent practicable. Use of Government facilities for personal reasons is prohibited and could result in an employee's being fined, suspended, or dismissed. 5 CFR 735.205 prohibits the use of Government property for other than officially approved activities.

§ 201-38.008 Use of toll-free telephone services.

For the purpose of the FIRMR, toll-free telephone service is any incoming intercity circuit arrangement that allows the public to make long-distance telephone calls to authorized locations at Government expense. This intercity circuit arrangement includes but is not limited to Inward Wide Area Telephone Service (INWATS or dial 800) and foreign exchange (FX) circuits. The service is usually used for providing or obtaining information concerning Government programs, such as social welfare, disaster aid, veterans affairs, income tax, or health. Intercity toll-free telephone service shall be established only when the service is (a) essential to mission accomplishment; (b) necessary to meet program requirements; or (c) required by statute, Executive order, or other regulation.

§ 201-38.008-1 Agency responsibilities.

(a) The acquisition and management of intercity toll-free telephone services should be centrally managed within executive agencies to the greatest extent practicable. Prior approval of a responsible agency official shall be obtained for the acquisition of toll-free services.

(b) The requirement for intercity toll-free telephone service must be approved by GSA. (See § 201-39.006-2 for justification requirements.)

(c) An annual review of incoming intercity toll-free telephone services shall be conducted in accordance with agency procedures. The results of these reviews shall be retained in agency files. As a minimum, this review shall address—

(1) The need for continuing the service at the same level;

(2) Whether the existing toll-free service is the most cost effective method of satisfying the requirement; and

(3) Whether the intended program objectives are being achieved.

§ 201-38.008-2 GSA responsibilities.

(a) GSA maintains a record of all toll-free service requests. The record lists the name of the agency, reasons for the circuits, type of service, number of circuits, terminations, and cost. This record provides a current, central, Government-wide source for managing, engineering, budgeting, and planning; and for public and congressional inquiries.

(b) GSA will assess the technical and operational efficiency and the cost of the requested toll-free service. The purpose of the assessment is to ensure that the requested service is the most effective and/or economical arrangement from the standpoint of the Government's interest relative to the specialized requirement.

§ 201-38.009 [Reserved]

§ 201-38.010 Analysis of data communications requirements.

Agencies should develop a plan that will ensure adequate service before they lease or purchase any intercity communication facilities. Agency plans and associated actions should be based on the findings of a determination of need and requirements analysis, and a comparative cost analysis.

(a) *Determination of need and requirements analysis.* The acquisition of new or additional telecommunications capabilities shall be based on program needs that flow from mission requirements. These needs may be expressed in the form of deficiencies in existing capabilities, new or changed mission requirements, or opportunities for increased economy and efficiency. In any event, the needs shall be supported by a requirements analysis commensurate with the size and complexity of the need.

(b) *Analysis of alternatives.* A comparative cost analysis shall be performed for each requirement to determine which alternative will meet the user's needs at the lowest overall cost, price and other factors considered, over the system/service life.

(c) *Common use systems.* Agencies shall consider use of available consoli-

dated services. GSA and the Defense Communications Agency (DCA) provide economical communications services to Federal agencies by obtaining resources in bulk quantities from commercial carriers. Economy of scale discounts are available under the DCA's Multiplex service and GSA's Consolidated DATACOM Network, the Federal Telecommunications System (FTS), and through the value added network (VAN) billing program.

[FIRMR Amdt. 4, 50 FR 27164, July 1, 1985]

§ 201-38.011 Agency surveys and inventories of telephone station equipment.

(a) To ensure continuing cost-effective use of telephone station equipment, each agency shall make a complete survey annually. Survey documentation shall be retained in the agency's files until superseded. In addition, agencies shall conduct surveys of installed station equipment where major relocations, reorganizations, or staffing changes impact telephone station equipment cost.

(b) Each agency that obtains GSA consolidated service will receive by May 1 of each year a computerized listing of telephone service as posted in GSA records as of March 31. Agencies shall validate this listing. The validated listing shall be returned to the office specified by the serving GSA region not later than June 30 of each year. GSA will arrange to correct all billing errors as documented by the agency. The errors will be corrected by August 31.

(c) Each agency shall maintain a program to provide for surveys and inventories at those offices not receiving GSA-consolidated service. GSA will provide assistance and training to agencies in developing survey and inventory programs. Upon request and subject to personnel availability, GSA will conduct surveys of major agency-operated systems on a reimbursable basis.

[FIRMR Amdt. 1, 50 FR 4393, Jan. 30, 1985, as amended by FIRMR Amdt. 4, 50 FR 27164, July 1, 1985]

§ 201-38.011-1 Guidelines

(a) *Station equipment analysis.* (1) Telephone station equipment and related features shall be determined by a study of agency operational and mission requirements. The study shall include an analysis of all available station equipment options, with mission, goals, and cost being the main considerations in the final selection. The range of alternative station equipment design for an office will be determined by the capabilities of the serving switching system.

(2) Electronic features, including dual tone multifrequency tone signal dialing, can often be used to functionally replace the electromechanical features provided by multiline key telephones. Charges for electronic features vary widely depending on local tariffs for systems leased from tariffed telephone companies and pricing schemes of vendors of nontariffed telephone systems. Only a systematic analysis of alternative station equipment configurations (all key, all single line, or a combination of key and single line) will provide the basis for selection of the best station equipment application.

(3) Mandatory considerations to be used in the selection telephone station equipment are cost, performance, and the features of alternative telephone systems. These considerations should be used in developing cost/benefit studies.

(b) *Restricted features and equipment.* (1) Features should not be added to existing station equipment without considering the results of the cost/benefit study called for in paragraph (a)(3) of this section.

(2) Auxiliary telephone station equipment and features, including but not limited to automatic dialing equipment, speakerphones, call diverters, automatic ring lines (hot lines), bell chimes, and music on hold, must be justified annually on the basis of mission, goals, and operational need. Agencies shall establish internal regulations to limit the use of auxiliary equipment and features because these features and ancillary devices can add substantially to cost and provide only occasional benefits.

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§ 201-38.012 Use of functional telecommunications system specifications.

(a) Functional telecommunications system specifications shall be used where possible. Agency telecommunications specifications shall not be limited to tariff descriptions. Where applicable, requirements shall be set forth in a manner that will permit all responsible tariff and nontariff suppliers to submit offers.

(b) The fact that a tariffed carrier can provide the required service and/or equipment does not by itself constitute justification to order from the tariffed carrier.

(c) Section 201-40.007 sets forth requirements concerning telecommunications solicitations.

[FIRMR Amdt. 4, 50 FR 27165, July 1, 1985]

§ 201-38.013 [Reserved]

§ 201-38.014 Telecommunication requirements.

§ 201-38.014-1 Submission of requirements to GSA.

Agency telecommunications requirements shall be submitted to the General Services Administration (GSA) in accordance with procedures outlined in § 201-39.006 unless the agency requirement is exempt under those provisions. If the agency requirement is exempt under § 201-1.103 or if GSA determines that service, efficiency and the least overall cost to the Government is best achieved through direct agency action, the agency will be authorized to contract to satisfy the requirement and shall follow the procedures specified in §§ 201-11.003-1, 201-11.003-2, and 201-24.304. Costs and other factors that will be considered include all costs of service delivery, administrative and engineering support activities, and service requirements associated with items such as national security, emergency preparedness, connectivity, management and control. Service shall include the satisfaction of national security, emergency preparedness, connectivity, management and control in addition to basic service delivery.

[FIRMR Amdt. 4, 50 FR 27165, July 1, 1985]

§ 201-38.014-2 GSA actions.

(a) GSA will assess the efficiency, service, and cost of using the Federal Telecommunications System (FTS) and other common user services or systems. If GSA determines that it is in the best interest of the Government to use common user systems, GSA will make the necessary arrangements. GSA will document the file to show the basis for the determination, with primary emphasis on cost considerations. GSA also may elect to provide telecommunications on behalf of the agency where it determines that this action is economical and in the interest of the Government.

(b) If an agency submits a request to GSA to use an alternative to the FTS for some or all of its voice long distance needs, GSA will assess the efficiency, service, and cost of the proposal. GSA will consider the proposal's total costs to the Government, compared to the total costs to the Government in meeting the agency's needs using (1) the FTS, (2) the lowest cost commercial offerings on the public network, or (3) other alternatives, as applicable. GSA will make a determination for a preferred option within the time periods as specified in §§ 201-39.007.1 and 201-39.007.2, as applicable.

[FIRMR Amdt. 4, 50 FR 27165, July 1, 1985]

§ 201-38.014-3 Review of proposed determinations by the Office of Management and Budget.

(a) In the absence of mutual agreement between GSA and the agency concerned, proposed GSA determinations with respect to a specific agency long distance voice telecommunications requirement submission to GSA shall be subject to review and decision by OMB. When these matters are submitted to OMB for resolution, the submitting agency (GSA or the agency concerned) shall submit copies of the submission and all relevant data and information to the other party.

(b) The Administrator of General Services has authorized the Office of Management and Budget (OMB) to review and decide, based on economy, efficiency or service, the manner in which agency requirements referred to

in paragraph (a) of this § 201-38.014-3 shall be satisfied.

[FIRMR Amdt. 4, 50 FR 27165, July 1, 1985]

§ 201-38.015 Competition.

Agencies shall follow the applicable provisions of Part 201-11 in the procurement of telecommunication resources.

§ 201-38.016 Acquisition policies.

Agencies shall follow the applicable provision of Part 201-24 in the procurement of telecommunication resources.

§ 201-38.017 GSA provided service through the FTS.

When GSA provides local telephone and/or intercity telephone services to Federal agencies, GSA will assume the responsibility of meeting all agency requirements. Agencies shall notify GSA of any changes desired at these locations through the use of Standard Form (SF) 145. The SF 145 is generally sent to the local GSA supervisor at the serving location. (See Part 201-41.)

[FIRMR Amdt. 4, 50 FR 27165, July 1, 1985]

PART 201-39—MAJOR CHANGES AND NEW INSTALLATIONS OF TELECOMMUNICATION RESOURCES

Sec.

201-39.000 Scope of part.
201-39.001 General.
201-39.002 Description of major changes and new installations.
201-39.002-1 Local telephone service.
201-39.002-2 Intercity telephone service.
201-39.002-3 Data, facsimile, and record telecommunication services.
201-39.002-4 Communications security service.
201-39.002-5 Radio service.
201-39.002-6 Video and audio service.
201-39.002-7 Teleconference service.
201-39.003201-39.005 [Reserved]
201-39.006 Submission of major changes and new installation requirements to GSA.
201-39.006-1 Local telephone service submissions.
201-39.006-2 Intercity telephone service submissions.
201-39.006-3 Federal Telecommunications System (FTS) intercity voice network service submissions.
201-39.006-4 Data, facsimile, and record telecommunication services submissions.
201-39.006-5 GSA common user data communication system submissions.
201-39.006-6 Other telecommunication services submissions.
201-39.007 GSA action on agency submissions.
201-39.007-1 Action on other than FTS submissions.
201-39.007-2 Action on FTS submissions.
201-39.007-3 Action on data telecommunication service submissions.

AUTHORITY: Sec. 205(c), 63 Stat. 390; 40 U.S.C. 486(c).

SOURCE: FIRMR Amdt. 1, 50 FR 4395, Jan. 30, 1985, unless otherwise noted.

§ 201-39.000 Scope of part.

This part prescribes policies and procedures regarding the management of major changes to or installations of new agency telecommunication resources in relation to the General Services Administration (GSA) Government-wide responsibilities.

§ 201-39.001 General.

When an Executive agency intends to install, change, relocate, replace, remove, or use telecommunication resources as described in § 201-39.002, the agency shall submit information to GSA as described in § 201-39.006. GSA will, as promptly as practicable, review the intended action, approve or disapprove the request, and notify the agency of its determination.

§ 201-39.002 Description of major changes and new installations.

This section describes major changes and new installations of telecommunication services and facilities that require approval by GSA.

§ 201-39.002-1 Local telephone service.

Local telephone services are—

(a) Installation, relocation, replacement, or removal of a private branch exchange (PBX), CENTREX service, or automatic call distributor (ACD) equiment. A telephone subsystem installed as part of a GSA telephone system is not considered a major change when the subsystem does not duplicate features of the PBX or CENTREX main system. However, these

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subsystems must be approved by the GSA regional office providing service to ensure that subsystems are compatible with the main system. (Main station lines and station-to-trunk tie lines connected to a subsystem are subject to the same common distributable rate as those connected to the main system.)

(b) Installation, replacement, or relocation of any stand-alone telephone equipment arrangement having the capability or capacity to provide service to 50 or more telephones.

(c) Installation or relocation of 25 or more business lines.

(d) Installation, augmentation, replacement, or removal of tielines between private branch exchanges.

(e) Installation of telecommunication equipment of any type for which termination liability in excess of $50,000 must be assumed on the removal of the equipment and/or service connection charges, plant construction charges, engineering charges, or minimum revenue guarantees in excess of $50,000, or for which the annual lease cost or purchase price (including annual maintenance costs) is in excess of $50,000.

(f) Installation of 200 or more main stations to any PBX that is connected directly to the FTS intercity voice network.

(g) Any change to local telephone service that requires relocation or removal of FTS intercity voice network facilities.

§ 201-39.002-2 Intercity telephone service.

Installation or replacement of voice facilities interconnecting service points located in separate exchange areas. These facilities include Wide Area Telephone Services (WATS), foreign exchange (FX) circuits, and other intercity private lines, including toll-free circuit arrangements which allow the public to make long distance calls at Government expense. These toll-free arrangements include, but are not limited to, Inward Wide Area Telephone Service (INWATS or dial 800) and foreign exchange (FX) circuits.

§ 201-39.002-3 Data, facsimile, and records telecommunications services.

(a) These services are installation, replacement, relocation, removal, or use of intercity network data, facsimile, and record telecommunications services or facilities that exceed $50,000 in annual lease or purchase cost. Data, facsimile, and record transmission channels or equipment, either electrically, electronically, or acoustically coupled and multiplexing facilities, regardless of transmission speed are included.

(b) Local data, facsimile, or record telecommunications requirements are not included.

(c) Requirements where dedicated access to the FTS intercity voice network or to FTS local service systems are included, regardless of cost.

[FIRMR Amdt. 4, 50 FR 27165, July 1, 1985]

§ 201-39.002-4 Communications security service.

(a) Installation, relocation, or removal of one or more pieces of communications security and related equipment.

(b) Commencement or discontinuance of maintenance support arrangements (including repair or rebuilding) for communications security and related equipment.

§ 201-39.002-5 Radio service.

Installations involving the extension of or major change to existing systems or the implementation of new systems.

§ 201-39.002-6 Video and audio service.

(a) Installation, change, or removal of all or any significant part of video and audio services or systems when the services (whether purchased or leased) are to be between two or more separate buildings.

(b) Installation, change, or removal of video and audio service (whether purchased or leased) within a single Government building. Video and audio service within a single building used for training, monitoring or technical processes, medical purposes, or for guard and protection purposes are exempted.

§ 201-39.002-7 Teleconference service.

Installation, relocation, or replacement of agency exclusive teleconference facilities that provide for a conference capability of more than five connections. GSA provides conference services at most GSA consolidated telephone systems. Conferences involving more than five connections should be placed through the National FTS Conference Control Center in Washington, DC, telephone FTS, 245-3333.

§ 201-39.003—201-39.005 [Reserved]

§ 201-39.006 Submission of major changes and new installation requirements to GSA.

(a) Agency requests for major changes or new installations, together with the required information and justifications, shall be submitted in writing to the General Services Administration (KMA), Washington, DC 20405, or where specified in this Part 201-39, to the appropriate GSA regional office.

(b) The specific information required for each major change or new installation of FTS and non-FTS services or facilities is set forth in the following subsections of this § 201-39.006.

(c) Requests should be submitted to GSA as far in advance as possible. Changes to existing FTS service shall be requested at least 60 calendar days before the implementation date except where agency provided equipment (e.g., interconnect PBX's or agency owned modems) are involved, this lead time shall be at least 90 calendar days.

(d) Minor changes to the FTS may be made by the agencies, provided GSA is given concurrent notification.

(e) When the request involves the ordering of a communication circuit by GSA, the National Communications System (NCS) circuit restoration priority assignment with justification shall be included with the request. If no priority is desired the request should so state. Changes to the priority assignment will be reported to GSA as they occur.

§ 202-39.006-1 Local telephone service submissions.

(a) Requests for local telephone service shall include appropriate information as set forth in the chart entitled "Required Information for Changes in Telephone Service." The chart appears at the end of this § 201-39.006-1.

(b) Requests for ACD's shall include a statement that the monitoring, service observing, or listening-in features have been (or will be) removed or disabled at the time of installation. These features are prohibited; all ACD's shall have the listening-in function removed unless specifically authorized. (See Subpart 201-6.2 for guidance.)

REQUIRED INFORMATION FOR CHANGES IN TELEPHONE SERVICES

[Chart referenced in § 201-39.006-1(a)]

If—	Submit—
1. Making any submission that is a major local service change as described at § 201-39.002-1.	1. The agency's name and address (including street, city, state, and ZIP code). 2. The name and telephone number of the person to contact. 3. A brief statement describing the particular request; e.g., "This is a 200 main station addition to an existing PBX." 4. As appropriate, a copy of a recent month's itemized equipment statement and actual cost, including mileage charges, number of operating positions, consoles, Central Office (C.O.) circuits, tielines, L.D. circuits, FTS circuits, main and extension stations, power plant, off-premise mileage, and other pertinent details.
2. Installing/changing, etc., a PBX/Centrex or similar system.	1. The make/model or equivalent of the present system. 2. The type of ownership (lease or purchase) and estimated annual cost. 3. System life projection. 4. Annual maintenance and repair cost. 5. Telephone operator cost, number of persons, and annual salaries. 6. OPX mileage and cost for each OPX location served. 7. Space requirements.

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REQUIRED INFORMATION FOR CHANGES IN TELEPHONE SERVICES—Continued

[Chart referenced in § 201-39.006-1(a)]

If—	Submit –
	8. Total termination liability and expiration date. 9. Main station capacity. 10. Number of stations installed, main and extension. 11. Number and type of circuits and monthly cost of: C.O., tielines, WATS, FTS, other. 12. Number and type of attendant positions 13. Proposed system functional characteristics.
3. Changing an ACD system	1. Number of positions, trunks, or circuits by type, for supervisory consoles. 2. The name of the geographical area to be served. 3. Statement (Yes or No) indicating that the monitoring, service observing, or listening-in features of the ACD will be removed or disabled at the time of installation. If "No", agencies must certify that the provisions of § 201-6.2 have been met.
4. Adding or revising tielines between PBX or like systems.	1. Number of calls per day and percent of calls during busy hour. 2. Monthly cost for tieline and terminal equipment. 3. Nonrecurring cost.
5. Adding or changing FTS intercity or inter-exchange service.	1. Estimate the daily number of intercity calls by destination. 2. Provide information described at § 201-39.006-3 as appropriate.

[FIRMR Amdt. 1, 50 FR 4395, Jan. 30, 1985, as amended by FIRMR Amdt. 4, 50 FR 27165, July 1, 1985]

§ 201-39.006-2 Intercity telephone service submissions.

(a) Unless the agency expects the requirement to be satisfied by the FTS (see § 201-39.006-3) requests for intercity telephone service shall describe the intercity requirement and include the average number of messages per business day, average conversation time per message, average operator time per message, and average percent of messages in the busy hour based on 5 workdays. The information should include toll calls originating at either end of the proposed circuit. A copy of the telephone company's monthly statement of the toll calls, including charges originating at either end of the proposed intercity circuit, should be furnished.

(b) Agency requests for intercity toll-free service to be provided to the public shall include a description of the requirement, the program to be supported, the purpose to be served, the type of service required (INWATS, FX, etc.), the location of each number (the telephone number is not required), the terminations, the service band, the estimated monthly cost, the number of circuits serving each number, the proposed usage (number of hours, full period, etc.), and either the title and date of the regulatory document if the service has been directed by a statute, Executive order, or other regulation, or certification of compliance with 31 U.S.C. 1348, unless authorized by statute.

§ 201-39.006-3 Federal Telecommunications System (FTS) intercity voice network service submissions.

Requests for FTS intercity voice network service shall include, in addition to the NCS circuit restoration priority assignment with a justification, or a statement that no priority is needed, the following information—

(a) Street address or building number where access to the network is required;

(b) Name, address, and telephone number of an agency contact for installation coordination;

(c) Toll bills for three recent consecutive months (If the request is for a new location or is based on an anticipated traffic increase, an estimate of the daily number of intercity calls by destination should be submitted.);

(d) The number and length of calls placed over private line services; e.g., FX, WATS, and private line networks;

(e) Seasonal traffic variations, if any;

(f) A description of the present service arrangements, including the

number and cost of business lines and extensions, or if for a PBX, the number and cost of main and extension stations, type of equipment, type and quantity of attendant positions, number of central office trunks, FX, WATS, and tielines;

(g) If a change in present service is contemplated, a description of the proposed service arrangement is required in addition to the information requested in paragraph (f) of this section. This description must include the proposed number and cost of main and extension stations, number and type of attendant positions, quantity of central office trunks or business lines, FX, WATS, and tielines; and

(h) Length of time the service is required; i.e., part time (12 hous or less per day) or full time (more than 12 hours per day).

§ 201-39.006-4 Data, facsimile, and record telecommunications services submissions.

(a) Agencies requiring intercity data, record, or facsimile transmission network services or facilities that exceed $50,000 in annual lease or purchase cost (major changes and new installations as described in § 201-39.002-3) shall submit an Agency Telecommunications Request (ATR) to the General Services Administration (KMAS), Washington, DC 20405. The ATR shall include the information as set forth in paragraph (c) of this § 201-39.006-4. Local data, record, or facsimile telecommunications requirements do not require GSA review and approval.

(b) Public Law 96-511 (the Paperwork Reduction Act of 1980) directs each executive agency head to designate a senior official (officials in DOD) reporting to the agency head to be responsible for implementing the Act. This designated senior official in each agency shall advise GSA in writing of the position, title, and organization identity of those officials who have been authorized to submit ATRs to GSA. The designated senior official shall keep the listing current. (A change of incumbent in an unchanged position and organizational assignment does not require notification.) Listings shall be submitted to the General Services Administration (KMAS), Washington, DC 20405.

(c) Agency telecommunications request (ATR) submissions for intercity data transmission facilities or services required by paragraph (a) of this § 201-39.006-4 shall be prepared as follows:

(1) *Agency Information:* Provide agency name, address, and names and telephone numbers of appropriate agency technical and contracting points of contact.

(2) *Project Title and Description:* (i) Provide the project title and a brief but specific description of the primary agency program(s) that the required telecommunications resources will support.

(ii) Provide a brief but specific description of the current intercity data telecommunications transmission facilities (including major systems components) and services currently supporting the program(s).

(iii) Provide a brief but specific description of the intercity data telecommunications transmission facilities (including major systems components) and services requirements to be acquired. Include a network diagram, if appropriate, or such other pertinent information agencies may wish to present that will enable GSA to understand the requirement. This description should reflect resources required for system expansion (i.e., anticipated augmentation and other major system modifications) during the system life if such requirements will be included in the solicitation document as evaluated options.

(3) *Acquisition strategy:* (i) Indicate whether or not the proposed procurement approach is to satisfy a requirement using a specific make and model specification. Specify the type of contract expected to be used. Indicate whether GSA multiyear contracting authority is required.

(ii) Identify by fiscal year quarter the planned milestone dates for

(A) Release of solicitation document and

(B) Contract award.

(iii) Indicate whether the acquisition plan contemplates contracting (see FAR 7.104(c)) under policies and procedures for:

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(A) Full and open competition (see FAR Subpart 6.1);

(B) Full and open competition after exclusion of sources (see FAR Subpart 6.2); or

(C) Other than full and open competition (see FAR Subpart 6.3). In addition, provide the applicable statutory contracting authority cited in FAR 6.302-1 through 6.302-7 permitting the use of such procedures.

(4) *Estimated Contract Life and Cost:* Identify the estimated contract cost of the acquisition (not the overall systems life cost) for the contract life. Include all anticipated optional quantities, services, and periods. Detailed cost breakdowns may be included when necessary to describe clearly the estimated costs. The estimated contract cost (for all years) should correspond to the planned contract life.

NOTE: The GSA approval resulting from the submission will be limited to quantities and years described herein.

(5) *Regulatory compliance:* (i)(A) Provide a statement which indicates that the agency has reviewed and complied (or will comply) with all applicable regulations, or

(B) List those deviations to the regulations that apply to this request for which approval is sought and provide an explanation for each regulatory deviation request (see Subpart 201-1.4).

(ii) Provide the date of completion or most recent update of the following documentation or indicate not applicable:

(A) Requirements analysis (see § 201-39.010(a));

(B) Analysis of alternatives (see § 201-38.010(b)); and

(C) Certified data supporting any use of a specific make and model specification as required by § 201-11.002-1; and certified data supporting a contemplated requirement available from only one responsible source (see § 201-11.002(b)).

(6) *Agency/GSA references:* Provide references to previous GSA FPMR approvals (including previous GSA case number), meetings, telephone discussions, etc.

(7) *Agency authorized signature, position title, organizational identity, date:* Provide these data.

NOTE: GSA will process only those agency submissions signed by an authorized official. See paragraph (b) of this § 201-39.006-4.

[FIRMR Amdt. 4, 50 FR 27166, July 1, 1985; 50 FR 28208, July 11, 1985]

§ 201-39.006-5 GSA common user data communication system submissions.

Agencies that plan to use GSA common user data communication systems shall provide the following information only when dedicated network access is required:

(a) A list of all network dedicated locations;

(b) An estimate of the peak transmission rate to and from each dedicated location in bits per second (bps), characters per second (cps), or facsimile pages per minute; and

(c) A description of the network conditioning, security, accuracy, and error detection required.

[FIRMR Amdt. 4, 50 FR 27167, July 1, 1985]

§ 201-39.006-6 Other telecommunication services submissions.

(a) *Communications security service.* Prior to submitting a request for communications security service, agencies shall initially submit written notification that a requirement exists for service in the communications security and privacy areas. Subsequent arrangements to satisfy the needs of the agencies will be based on agreements developed by the requesting agency and GSA. GSA provides for the repair and maintenance of secure electronic telecommunications equipment and operates a network known as the Federal Secure Telephone Service.

(b) *Radio service.* The information required by GSA in order to approve or disapprove major changes and new installations to agency radio services is obtained through the Interdepartment Radio Advisory Committee of the National Telecommunications and Information Administration. Separate submission to GSA for radio services approval is not required unless additional information is needed on specific projects. GSA will initiate the action in these instances.

(c) *Video and audio service.* Agencies shall describe the purpose for which the service is required, includ-

ing a brief description of the system, a listing of the major equipment items, a listing of the terminal locations of the system, the transmission mode (radio or cable), the hours of service, and the estimated cost for the system.

(d) *Teleconferencing service.* Agency requests for GSA approval of exclusive-use conference facilities should contain sufficient economic and operational detail to evaluate the request in comparison with the Federal Telecommunications System (FTS) teleconference services.

§ 201-39.007 GSA action on agency submissions.

§ 201-39.007-1 Action on other than FTS submissions.

GSA will approve or disapprove other than FTS requests in writing within a 20-workday period provided that sufficient supporting data is furnished. If GSA has taken no action within the 20 workdays after receipt of a request, plus 5 days mail lag, the agency may proceed as if approval has been granted. GSA will notify the agency in writing if unusual or special circumstances will lengthen the period of time GSA needs to complete its evaluation.

§ 201-39.007-2 Action on FTS submissions.

(a) GSA will approve or disapprove the request as quickly as possible and will inform the agency of its determination. If the request is approved, GSA will take action to provide the requested facilities and services.

(b) Intercity telephone service is provided to agencies by GSA through the intercity voice network of the FTS. Each subscriber agency is informed in advance of the charges that will be allocated to it for normal FTS intercity telephone service for the ensuing fiscal year. During the course of the fiscal year new locations may be provided access to the network as a result of an agency request. Prior to providing service, GSA will make an analysis to determine the method of access and required facilities and evaluate the economic feasibility to the Government. Requests for intercity network service will be considered in relation to current and future requirements for local telephone service. Whenever possible, GSA will endeavor to provide both local and intercity telephone service under a single coordinated service arrangement.

(c) For those locations where intercity telephone service is approved, agencies shall assume any additional cost of providing the service beyond that previously provided for the remainder of the current fiscal year and the ensuing fiscal year. For those locations where FTS service is disapproved as not economically feasible on the basis of the information submitted, the agency may formally request that the location be provided service as an essential operational necessity. In such instances, all facility costs associated with the installation shall be borne by the requesting agency for the current and subsequent years.

§ 201-39.007-3 Action on data telecommunication service submissions.

GSA will normally base its review only on the information provided in the ATR submission under § 201-39.006-4. However, when necessary, GSA will conduct a more in-depth review before approving an ATR. In some instances, this may require the submission of additional information. In this regard, GSA reserves the right to review agency actions implementing any requirements described in § 201-39.002-3. Documentation shall be made available for review upon request of GSA officials. (Documentation should be retained in agency files for such periods as required by applicable law or regulation.)

[FIRMR Amdt. 4, 50 FR 27167, July 1, 1985]

PART 201-40—CONTRACTING FOR TELECOMMUNICATION RESOURCES

Sec.

201-40.000 Scope of part.
201-40.001 Implementation of acquisition policies.
201-40.002 System acquisitions.
201-40.002-1 GSA acquisition of agency systems.
201-40.003 Implementation of privacy requirements.
201-40.004 Implementation of security requirements. [Reserved]

Sec.

201-40.005 Implementation of standards.
201-40.006 Evaluation of acquisition alternatives.
201-40.007 Solicitations.
201-40.007-1 Use of GSA model solicitation for PBX systems.
201-40.008 Use of GSA nonmandatory telecommunications schedule contracts.

AUTHORITY: Sec. 205(c), 63 Stat. 390; 40 U.S.C. 486(c).

SOURCE: FIRMR Amdt. 1, 50 FR 4397, Jan. 30, 1985, unless otherwise noted.

§ 201-40.000 Scope of part.

This part prescribes policies and procedures for the procurement and contracting of telecommunication acquisitions. The provisions shall be used in conjunction with the Federal Acquisition Regulation (see Subpart 201-1.6).

§ 201-40.001 Implementation of acquisition policies.

Agencies shall follow the provisions set forth in Part 201-24 when contracting for telecommunication resources.

§ 201-40.002 System acquisitions.

§ 201-40.002-1 GSA acquisition of agency systems.

The following provisions apply when GSA performs a system acquisition on behalf of an agency.

(a) *Agency responsibilities.* The requiring agency shall—

(1) Prepare the documentation using criteria discussed in § 201-40.007;

(2) Prepare or assist GSA in the preparation of the technical portion of the solicitation document;

(3) Provide technical and contracting personnel, as required, to be members of the procurement team;

(4) Prepare or assist GSA in the preparation of the selection plan and submit it to the contracting officer prior to the issuance of the solicitation documents;

(5) Assist GSA in the technical evaluation of proposals;

(6) Provide GSA with copies of all correspondence between the agency and offerors;

(7) Assist GSA in performing the economic evaluation of proposals;

(8) Assist in writing any determination of findings, or provide a justification to support the contracting procedure when necessary;

(9) Provide GSA with administrative information; e.g., financial data (paying office, fund citation, etc.), contract distribution list, and name of agency contracting officer;

(10) Participate in the negotiation;

(11) Assist GSA in debriefing offerors, if necessary;

(12) Place the delivery order, if applicable, and

(13) Administer the contract when it is transferred to the agency.

(b) *GSA responsibilities.* As necessary for the specific acquisition, GSA will—

(1) Form the procurement team, including technical, contracting, and economic analysis personnel. If the agency does not have qualified technical personnel, GSA will prepare the technical portion of the solicitation document;

(2) Prepare the solicitation document;

(3) Act as the point of contact between the Government and offerors, including the execution or approval of all correspondence between the Government and any offerors, receiving proposals from offerors, and providing copies of all offers to the agency;

(4) Perform the economic evaluation of proposals;

(5) Participate in the technical evaluation of proposals;

(6) Perform evaluations, including attendance at demonstrations, to determine the technical capability of the items offered;

(7) Conduct negotiations, as necessary, notify offerors when proposals are unacceptable, and prepare determinations and findings, as necessary;

(8) Ensure that the agency is informed of all procurement activities, including the reporting of results of negotiations and providing draft copies of the contract to the agency;

(9) Award and distribute the contract, including the transmission of all pertinent documents to the successor contracting officer appointed by the agency; and

(10) Debrief offerors, as necessary.

[FIRMR Amdt. 4, 50 FR 27167, July 1, 1985]

§ 201-40.003 Implementation of privacy requirements.

(a) When executive agencies contract for telecommunication services subject to the Privacy Act, contracting officers shall include in their solicitations and resultant contracts—

(1) Agency rules of conduct that a contractor and its employees shall be required to follow;

(2) A list of the anticipated threats and hazards inherent in the contemplated acquisition against which the contractor must safeguard;

(3) A description of the safeguards that the agency requires the contractor to provide;

(4) Requirements for a program of Government inspection during performance of the contract that will ensure the continued efficacy and efficiency of safeguards and the discovery and countering of new threats and hazards; and

(5) The contract clauses prescribed in §§ 201-32.302-1 and 201-32.302-2 entitled Rights in Privacy Safeguards (APR 84 FIRMR) and Access to Contractor Facilities and Records—Privacy Safeguards Inspection (APR 84 FIRMR).

(b) Automatic data processing (ADP) and telecommunication management provisions regarding the Privacy Act are in Part 201-6. Related provisions regarding security of Federal ADP and telecommunication systems are in Part 201-7.

§ 201-40.004 Implementation of security requirements. [Reserved]

§ 201-40.005 Implementation of standards.

Agencies shall implement standards set forth in Subpart 201-8.1 when contracting for telecommunication resources (see § 201-8.104).

§ 201-40.006 Evaluation of acquisition alternatives.

The method of contracting for telecommunications requirements shall be determined after consideration of the relative merits of the alternative methods available; i.e., purchase, lease, or lease-with-option-to-purchase. A comparative cost analysis of the alternative methods shall be performed to determine which method provides the Government with the lowest overall cost over the total systems life (see also § 201-24.305). Particular attention in the cost analysis should be given to two-tier pricing mechanisms where recovery of facilities and equipment capital investment is treated in a different manner than the labor intensive elements of the price.

[FIRMR Amdt. 4, 50 FR 27167, July 1, 1985]

§ 201-40.007 Solicitations.

(a) Agencies shall prepare solicitations in accordance with applicable FAR provisions and this § 201-40.007. Upon request, GSA will provide assistance in developing solicitation packages and will help agencies in the solicitation process. Section 201-40.002-1 provides guidelines for agencies when GSA performs the contracting on behalf of an agency.

(b) The solicitation shall identify all evaluation factors that are to be considered. It shall include mandatory requirements and, where applicable, evaluated optional features. If evaluated optional features (see § 201-2.001 for definition) are included, relative weights (expressed in dollar values, points, or any other reasonable indicators that describe the relative importance) shall be assigned to these features.

(c) To assist agency personnel in reviewing proposals, the contracting office shall prepare a selection plan prior to issuing the solicitation.

[FIRMR Amdt. 4, 50 FR 27168, July 1, 1985]

§ 201-40.007-1 Use of GSA model solicitation for PBX systems

GSA has developed a model solicitation package for PBX systems that is available to agencies upon request from General Services Administration (KET), Washington, DC 20405.

[FIRMR Amdt. 4, 50 FR 27168, July 1, 1985]

§ 201-40.008 Use of GSA nonmandatory telecommunications schedule contracts.

(a) *General.* (1) An order placed against a GSA nonmandatory telecommunications schedule contract (FSC Group 58) is subject to the provisions of this § 201-40.008 and other applica-

ble FIRMR provisions, including Parts 201-24, 201-38 and 201-40.

(2) An order against a GSA nonmandatory telecommunications schedule contract is placed under competitive procedures when (i) the ordering agency follows the procedures of this § 201-40.008 (but see § 201-11.002-1 where technical and requirements personnel use a specific make and model specification) and (ii) the order provides the lowest overall cost alternative to meet the needs of the Government. However, the use of a GSA nonmandatory telecommunications schedule contract for requirements available from only one responsible source shall be certified, justified, and approved in accordance with FAR 6.303 and 6.304. If responsible alternative sources are available (see FAR Part 7 for market survey procedures), the availability of items under a GSA nonmandatory telecommunications schedule contract shall not preclude or waive the requirement to seek (through alternative contracting procedures) the lowest overall cost alternative to meet the needs of the Government. Any restrictive requirement (e.g., a requirement for "only new" equipment or unique features) shall not be used unless specifically justified.

(3) Suitable equipment or services must be considered whether or not it is on a GSA nonmandatory telecommunications schedule contract. The lowest overall cost alternative shall be sought. When using a GSA nonmandatory telecommunications schedule, an agency shall consider the offerings of a sufficient number of schedule contractors to ensure that its requirements are satisfied at the lowest overall cost to the Government. Alternatively, the agency may choose to prepare a solicitation document (see § 201-40.007) in an effort to secure appropriate products and related services at lower overall costs to the Government. Even though the solicitation process consumes time and resources, it may be in the best interest of the Government when:

(i) The expected cost reduction will exceed the added costs of solicitation and contracting;

(ii) There is a reasonable expectation that better offers will be received from suppliers other than the schedule contractor for suitable items; or

(iii) The agency requirement cannot be satisfied reasonably by any telecommunications schedule contractor; e.g., the agency's requirement calls for a customized package of equipment, training services, or other features not offered under the schedule.

(4) An agency shall comply with the synopsis requirements of paragraphs (b) and (c) of this section before placing an order against a GSA nonmandatory telecommunications schedule contract.

(5) An order under a GSA nonmandatory telecommunications schedule contract shall not exceed any applicable contract maximum order limitation (MOL).

(b) *Synopsis requirements.* (1) The intent to place an order against a GSA nonmandatory telecommunications schedule contract shall be synopsized in the CBD at least 15 calendar days before placing the order when (i) the purchase price of the equipment (whether purchased or leased) exceeds $50,000, (ii) the maintenance charges exceed a $50,000 annual rate, or (iii) the total value of any order exceeds $50,000. In calculating the 15 days for synopsizing, notwithstanding the presumption in FAR 5.203(f), the first day shall be the actual date the synopsis appears in the CBD. (In accordance with the Administrator of General Services' determination under Pub. L. 98-577, this synopsis requirement supersedes the requirement in FAR Subpart 5.2 to synopsize orders in excess of $10,000 for 30 days.)

(2) The synopsis should include sufficient information to permit the agency analysis required by paragraph (c) of this section. It shall be prepared and forwarded in accordance with FAR 5.207. The synopsis shall not be unnecessarily restrictive of competition, and as a minimum, and as applicable, it shall include:

(i) A statement that all responsible sources may respond to the synopsis and that all such responses will be fully considered by the agency;

(ii) The name, business address, and telephone number of the contracting officer;

(iii) A request for pricing data;

(iv) A statement that no contract award will be made on the basis of any response to the notice, because the synopsis of intent to place an order against the schedule contract shall not be considered a solicitation document; and

(v) An accurate description of the equipment or services to be ordered, including:

(A) The specific make and model of any equipment to be ordered or maintained;

(B) The quantities, dates required, period of performance, and system/item life;

(C) The support requirements (e.g., hours of maintenance coverage, response times) for the ordered items;

(D) Any restrictive requirements that have been justified; and

(E) When converting from lease to purchase of installed telecommunications equipment, the amount of the net order price for the conversion.

(3) Publication of contract award information in the CBD is not required when an order is placed against a GSA nonmandatory telecommunications schedule contract since the schedule contracts are publicized in accordance with FAR Subpart 5.3.

(c) *Actions after the CBD synopsis.* The schedule order synopsis technique provides agencies with both the GSA negotiated schedule prices (derived from discounting prices in the competitive commercial marketplace) and such additional product and cost information as might be submitted by potential nonschedule suppliers in response to the CBD notification. After full consideration of the responses received in response to the CBD notice, the contracting officer must decide whether ordering from a GSA nonmandatory telecommunications schedule contract, or preparing a solicitation document, results in the lowest overall cost alternative to meet the needs of the Government. Accordingly, the contracting officer shall take one of the following actions:

(1) When no responses are received, the procurement file shall be documented with the results of the CBD synopsis and an analysis that indicates that an order placed against the applicable schedule contract provides the lowest overall cost alternative to the Government.

(2) When a response to the CBD notice is received from either a responsible nonschedule vendor or a schedule contractor (expressing an interest either on or off schedule) for an item(s) that meets the user's requirement, the contracting officer shall take one of the following actions:

(i) Document the procurement file with an analysis that indicates that the respondent's item(s) would not meet the requirement, or that the synopsized schedule item(s) provides the lowest overall cost alternative, and place an order against the synopsized schedule contract;

(ii) Document the procurement file with an analysis that indicates that a responding contractor's schedule offering is the lowest overall cost alternative and place an order against that schedule contract; or

(iii) Document the procurement file with an analysis that indicates that ordering from a GSA nonmandatory telecommunications schedule may not result in the lowest overall cost alternative to the Government. When this is the case, the contracting officer normally should issue a solicitation document. In this event:

(A) The solicitation should contain terms and conditions substantially the same as those contained in the schedule contract against which the order was to be placed. The addressees of the solicitation shall include the schedule contractor to ascertain any interest in furnishing the item(s) off the schedule. This procedure will permit the schedule vendor to discount the schedule item(s) price under a separate proposal that would not be a "price reduction" in the schedule contract.

(B) The agency shall publicize the procurement in accordance with the provisions of FAR Subpart 5.2.

(C) The contracting officer shall evaluate the offers received. It should be noted that some offerors may not agree to the solicitation terms and conditions that schedule contractors have accepted. The contracting officer shall act in a manner that provides the lowest overall cost alternative to the Government by either awarding a

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contract based on the offers received in response to the solicitation or placing an order with a schedule contractor. The procurement file shall be documented to reflect the action taken.

(d) *Lowest overall cost alternative order not at lowest price.* If items are to be acquired under a GSA nonmandatory telecommunications schedule contract at other than the lowest delivered price available for identical or similar items under any GSA nonmandatory telecommunications schedule contract, an agency shall justify the action and shall retain the justification and supporting data. The following are examples of factors that may be used in support of a justification that an order at other than the lowest delivered price is the lowest overall cost alternative to meet the needs of the Government.

(1) Special features of one item, not provided by comparable items, are required in effective program performance.

(2) An actual need exists for special characteristics to accomplish identified tasks.

(3) It is essential that the item selected be compatible with items or systems already being used.

(4) Greater maintenance availability, lower overall maintenance costs, or the elimination of problems anticipated with respect to machines or systems, especially at isolated use points will produce savings over the system/item life which are greater than the difference in order prices.

[FIRMR Amdt. 4, 50 FR 27168, July 1, 1985; 50 FR 28208, July 11, 1985]

PART 201-41—ROUTINE CHANGES AND USE OF THE FEDERAL TELECOMMUNICATIONS SYSTEM (FTS)

Sec.
201-41.000 Scope of part.
201-41.001 General.
201-41.002 Telephone service.
201-41.003 Telegraph service.
201-41.004 Data services on the FTS intercity voice network.
201-41.005 [Reserved]
201-41.006 Services provided at GSA switchboards.
201-41.007 Directories.
201-41.008 FTS Minimize guidelines.
201-41.008-1 General.
201-41.008-2 FTS intercity voice network.
201-41.009 FTS Precedence System.
201-41.009-1 General.
201-41.009-2 Categories of precedence.
201-41.009-3 Application and use.
201-41.009-4 Agency responsibility.
201-41.010 Essential residence telephone service during emergencies.
201-41.010-1 Line load control.
201-41.010-2 Criteria and procedures for obtaining essential service.
201-41.010-3 Procedures for resolution of conflicts.
201-41.010-4 Changes in agency essential service listing.

AUTHORITY: Sec. 205(c), 63 Stat. 390; 40 U.S.C. 486(c).

SOURCE: FIRMR Amdt. 1, 50 FR 4397, Jan. 30, 1985, unless otherwise noted.

§ 201-41.000 Scope of part.

This part sets forth policies and procedures regarding agency management of routine changes and the use of the Federal Telecommunications System (FTS) in relation to the General Services Administration (GSA) management responsibilities.

§ 201-41.001 General.

(a) Each agency telecommunication management program (see § 201-41.001) shall provide for implementation of procedures responsive to the provisions of this subpart where the FTS is used.

(b) To allow leadtime for planning and scheduling of work, telecommunications service requests, orders, and installation and building plans should be submitted to the address designated by the GSA regional office serving the agency location as far as possible in advance of the date the service is desired. If necessary, the GSA regional office will provide advice and assistance in completing service request forms and installation plans.

(c) Installations or changes other than those called for in the order shall not be made without amending the existing order or preparing a new order.

(d) At locations served by GSA systems, the cost of exclusive use agency telecommunications equipment and services will be identified and billed to the using agency whenever practical.

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§ 201-41.002 Telephone service.

(a) Standard Form 145 (SF 145), Telephone Service Request (Revised 6-82), is to be used by Federal agencies for ordering telephone service from GSA-operated or -managed telephone systems. Federal agencies shall forward all requests for telephone service to the address designated by the GSA regional office.

(b) GSA regional offices will provide guidance and assistance to agencies on the preparation and submission of the SF 145.

§ 201-41.003 Telegraph service.

(a) Orders or requests for changes in and new installations or removal of telegraph facilities shall be submitted by letter, memorandum, SF 145, or appropriate agency purchase order form.

(b) Standard Form 14 (SF 14), Telegraphic Message, is prescribed for use within the United States by executive agencies in preparing Official Government telegrams, teletype messages, and other messages for transmission by wire and cable or radio communications facilities. Instructions for the preparation and use of SF 14 are included as a part of the cited form. Appropriate special forms may be used in lieu of SF 14 when messages are to be transmitted by facsimile and for certain data messages requiring prearranged format.

§ 201-41.004 Data services on the FTS intercity voice network.

The FTS intercity voice network is available for the transmission of data that can be transmitted over conditioned switched or satellite channels.

(a) *Controls.* Daytime use of the FTS intercity voice network for data transmission is subject to controls to protect the quality of voice transmissions. GSA may require that agencies terminate use of particular circuits for data transmission during normal business hours or when an FTS Minimize (see § 201-41.008) is in effect.

(b) *Prior approval.* No prior approval for the use of the intercity voice network is required when network service is available without modification and the annual cost for transmission of data is less than $50,000. Requests for dedicated access to the FTS intercity network must be approved by GSA in accordance with Part 201-39.

(c) *Cost.* The transmission of data is billed at the same rate as network telephone calls; i.e., each call will be billed by minutes of usage as determined by the network random sample of agency calls. Intercity telephone service is billed quarterly.

§ 201-41.005 [Reserved]

§ 201-41.006 Services provided at GSA switchboards.

GSA will provide telephone and directory information services in connection with all switchboards it operates. This service includes the provision of adequate internal telephone information service for the agencies involved, as well as the handling of calls from the public.

§ 201-41.007 Directories.

(a) Government telephone directories will be provided by GSA to agency users at all GSA switchboards with 200 or more telephone instruments (stations) served, except as provided in paragraphs (b) and (d) below.

(b) Agencies should not duplicate this telephone directory service where GSA provides directories. Where it is determined that it is not economical to provide telephone directory service, GSA will meet basic telephone information service requirements with operator-provided information services. So that GSA can fulfill its service responsibility to the public, agencies must submit changes promptly affecting telephone listings through established local channels.

(c) Standard Form 146 (SF 146), Changes in Telephone Listings, shall be used to request changes in telephone listings. It shall be submitted in accordance with instructions on the form.

(d) GSA normally will not publish telephone directories for agencies located in Washington, DC. However, these agencies, when served by a GSA-operated switchboard, must submit the SF 146 to GSA so that the information service for the public may be maintained.

(e) GSA will publish directories annually unless special service require-

ments necessitate a more frequent interval.

(f) The cost of printing and maintaining Government telephone directories is included in the local telephone service charge. Agencies are provided directories on a one-per-telephone-instrument basis plus a reasonable quantity of copies (up to 5 percent additional) for administrative purposes. Agencies will be charged at cost for copies above these normal requirements.

§ 201-41.008 Minimize guidelines.

§ 201-41.008-1 General.

This section establishes procedures identified as Minimize for administrative control of voice, data, and record traffic over the FTS during emergency conditions. The section sets forth policies and procedures for Minimize as it relates to the FTS. It implements the Minimize guidelines prescribed by the National Communications System (NCS). The provisions of this § 201-41.008 apply to all Federal agencies. For further information concerning these policies and procedures write to General Services Administration (KNM), Washington, DC 20405.

§ 201-41.008-2 FTS intercity voice network.

(a) *Policy.* GSA has the sole responsibility to impose a Minimize condition on the FTS intercity voice network. Minimize control will apply to voice and data traffic to specific location and specified telephone area code. Agencies may exercise their internal Minimize notification system, but shall not impose Minimize upon another agency without GSA approval or direction.

(b) *Procedure.* GSA will notify the agency head and communications staff by the most rapid means available when a Minimize condition is in effect on the FTS intercity voice network. GSA regional offices will notify all major agency regional offices in their respective geographical areas of the Minimize condition. The Minimize notice will identify the city, state, and commercial telephone area code affected. The notice will emphasize that only emergency and essential voice and data traffic is to be placed to the affected area. GSA and the GSA regional offices will inform agencies when the Minimize condition is canceled. Minimize, to be effective, requires that agencies curtail as many calls as possible.

(c) *Agency responsibility.* Agency offices are responsible for notifying their central office personnel expeditiously, by whatever means they deem appropriate for their particular operation, when a Minimize condition is imposed or terminated by GSA. Intercity voice network users are to determine when their call meets the description (see § 201-2.001) of "emergency traffic" or "essential traffic." If neither description can be applied, the call shall not be initiated.

§ 201-41.009 FTS Precedence System.

§ 201-41.009-1 General.

This section provides for the establishment of an FTS Precedence System for use in all forms of voice and record communication services provided by GSA on FTS networks.

§ 201-41.009-2 Categories of precedence.

(a) *Flash.* Telephone calls and messages designated "Flash" take precedence over and preempt all other categories and will be handled as fast as possible. Flash precedence is reserved for telephone calls and messages pertaining to command and control of military forces essential to defense retaliation; critical intelligence essential to national survival; conduct of diplomatic negotiations critical to the arresting or limiting of hostilities; dissemination of critical civil alert information essential to national survival; continuity of Federal Government functions essential to national survival; fulfillment of critical U.S. internal security; and Presidential Action Notices essential to national survival during attack or preattack condition.

(b) *Immediate.* Telephone calls and messages designated "Immediate" take precedence over and preempt calls and messages designated "Priority" or "Routine." Immediate precedence is reserved generally for calls and messages pertaining to situations which gravely affect the security of national

allied forces; reconstitution of forces in a postattack period; intelligence essential to national security; conduct of diplomatic negotiations to reduce or limit the threat of war; implementation of Federal Government actions essential to national survival; situations which gravely affect the internal security of the United States; civil defense actions concerning direction of the population and its survival; disasters or events of extensive seriousness having an immediate and detrimental effect on the welfare of the population; and vital information having an immediate effect on aircraft, spacecraft, or missile operations.

(c) *Priority.* Telephone calls and messages designated "Priority" take precedence over and preempt calls and messages designated "Routine." Priority precedence is reserved generally for calls and messages concerning information essential to the conduct of Government operations. Such information includes important intelligence information; important diplomatic information; important information concerning the launch, operation, or recovery of spacecraft missiles or movement of naval, air, or ground forces; and information concerning coordination among Government agencies about emergency preparedness functions; major civilian aircraft accidents; maintenance of the health, safety, and welfare of the population; critical public utility services; distribution of essential food and supplies critical to health; and continuity of critical Government functions.

(d) *Routine.* Normal communications which require rapid transmission but do not require preferential handling are considered "Routine." All calls and messages not specifically designated otherwise are considered Routine.

§ 201-41.009-3 Application and use.

Careful selection and assignment of precedence by the system user is of the utmost importance since calls and messages will be handled solely by the precedence designation given to FTS operating personnel.

(a) *Telephone calls.* Precedence telephone calls are handled only by FTS operators. Automatic preemption is not available on the FTS intercity voice network. FTS operators will preempt calls only when necessary to make facilities available for a higher precedence call. FTS operators will provide assistance in handling precedence calls and will require the originator's name, agency identification number, and telephone number being called. FTS users when requested by the operator to terminate a conversation shall do so immediately. Precedence calls will be ticketed and a record of all such calls will be maintained by GSA.

(b) *Messages.* Precedence messages shall be designated by the originator. This precedence is indicated in the heading of the messages by a prosign (letter). Flash messages shall be designated by the prosign "Z"; Immediate messages by the prosign "O"; and Priority by the prosign "P". SF 14 provides a heading space for precedence and should be used by agencies for this purpose.

§ 201-41.009-4 Agency responsibility.

The head of each agency is responsible for designating personnel authorized to use the FTS Precedence System and shall ensure that authorized users adhere to the definitions and instructions contained herein. FTS Precedence System will be in effect on a day-to-day basis, and, therefore, it is essential that calls meet the criteria outlined. Calls and messages shall not be assigned a precedence higher than that described by the criteria.

§ 201-41.010 Essential residence telephone service during emergencies.

§ 201-41.010-1 Line load control.

(a) An arrangement called line load control can be provided at some locations by the public telephone companies so that subscribers having essential emergency functions may encounter a minimum of delay in placing calls from their residences during emergencies. The number of telephones that can be included in this arrangement is limited. Any charges for the line load control arrangement will be borne by the requesting agency.

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(b) If a number has been designated "essential," all outgoing calls are put through with minimum delay while retaining generally good service with only slight and intermittent delay to the other general public users.

§ 201-41.010-2 Criteria and procedures for obtaining essential service.

(a) The agency head is responsible for establishing internal procedures necessary to ensure that the selection of employees will be made in accordance with the guidelines in paragraph (b) of this section.

(b) Normal residential telephone service will be adequate in most situations and will be subjected to the imposition of line load control only under the most critical circumstances. Therefore, each employee selected for essential service must have a responsibility or function requiring undelayed outgoing calling capability. Essentially, the person being considered must have an emergency assignment requiring the immediate discharge of responsibilities from that person's home telephone. Rank, grade, or position are not determining factors. Because of the limits of this service, selections should be held to an absolute minimum.

(c) A list of selected employees will be prepared by the agency headquarters or subordinate field office, as directed by the agency head. The residential telephone numbers of selected employees, with names and home addresses, will be listed in alphabetical or numerical order by central office exchange letters or numbers under the appropriate area code number for the geographic area in which the employees reside. A sample agency listing appears below:

Area Code 301:

439-7417 Wm L Brady 8033 New Hampshire Adelphi.
585-7108 Paul C Richards 1137 Fidler Ch Ch.
CO5-0743 John T Byrd 2337 Huron Forest Hts.
WA5-0753 Thomas C Miller 2341 Elm Landover.

Area Code 703:

460-1769 Chas P Rogers 306 Cedar Vienna.
460-3127 John D Louis 4330 Walnut Dr Vienna.
533-8143 Robt W Service 6711 Monroe Vienna.
JE3-9086 RP Harris 1458 Edgewater Fls Ch.
JE4-8926 Wm G Glover 4306 S Glebe Arl.

Listings are required in this format to facilitate handling and processing with the telephone companies involved.

(d) The lists of selected employees will be approved and certified as meeting the guidelines established in this § 201-41.010-2. Certified lists then shall be forwarded to the appropriate GSA regional office, Attention: Director, Telecommunications Division. The GSA regional office will forward the lists to the appropriate telephone company for implementation. (See also Part 201-6.)

§ 201-41.010-3 Procedures for resolution of conflicts.

(a) When a local telephone company receives more requests for essential service than it can accommodate, the appropriate GSA regional office will be notified.

(b) The GSA regional office will resolve the matter with the local or regional offices of the agencies concerned. If the problem cannot be resolved at this level, the information will be submitted to the General Services Administration, Attention: KJ (hereafter referred to as GSA Central Office).

(c) GSA Central Office will contact the agencies' national offices to effect a solution. After resolution, GSA Central Office will notify the GSA regional office concerned, which will then advise the telephone company and the agency offices involved.

§ 201-41.010-4 Changes in agency essential service listing.

The agency or agency field activity is responsible for updating its lists of employees requiring essential service in accordance with instructions of the agency head. Changes in these lists should be forwarded promptly to the appropriate GSA regional office for further action to add or delete these employees from line load control.

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PART 201-42—201-44 [RESERVED]

PART 201-45—MANAGEMENT OF RECORDS

Sec.

201-45.000 Scope of part.

Subpart 201-45.1—Creation, Maintenance, and Use of Records

201-45.100 Scope of subpart.
201-45.101 General provisions.
201-45.101-1 Agency action.
201-45.102 Correspondence management.
201-45.102-1 Objectives.
201-45.102-2 Agency responsibilities.
201-45.102-3 Agency implementation.
201-45.103 Reports management.
201-45.103-1 Objectives.
201-45.103-2 Agency responsibilities.
201-45.103-3 Agency implementation.
201-45.104 Forms management.
201-45.104-1 Scope of section.
201-45.104-2 Relationship to other directives.
201-45.104-3 Objectives.
201-45.104-4 Agency responsibilities.
201-45.104-5 GSA assistance.
201-45.105 Directives management.
201-45.105-1 Scope of section.
201-45.105-2 [Reserved]
201-45.105-3 Objectives.
201-45.105-4 Agency responsibilities.
201-45.105-5 Additional information.
201-45.106 Copy management.
201-45.106-1 Scope of section.
201-45.106-2 Authority.
201-45.106-3 Agency responsibilities.
201-45.106-4 GSA responsibilities.
201-45.107 Mail management.
201-45.107-1 Objectives.
201-45.107-2 Agency responsibilities.
201-45.107-3 Agency implementation.
201-45.108 Files management.
201-45.108-1 Objectives.
201-45.108-2 Agency responsibilities.
201-45.108-3 GSA responsibilities.
201-45.109 Micrographics management.
201-45.109-1 Scope of section.
201-45.109-2 Agency responsibilities.
201-45.109-3 GSA responsibilities.
201-45.109-4 Micrographics systems analysis.
201-45.110 Records equipment and supplies management.
201-45.110-1 Objectives.
201-45.110-2 Agency responsibilities.

Sec.

Subparts 201-45.2—201-45.3—[Reserved]

Subpart 201-45.4—Stationery and Supplies

201-45.400 Scope of subpart.
201-45.401 Stationery standards.
201-45.401-1 General provisions.
201-45.401-2 Standard stationery specifications.
201-45.401-3 Procurement and stocking.
201-45.401-4 Printing of letterhead stationery.
201-45.401-5 Preparing and using letterhead stationery.
201-45.401-6 Manifold (tissue) sheets.
201-45.401-7 Envelopes.
201-45.401-8 Envelopes and post cards.
201-45.401-9 Miscellaneous forms.
201-45.401-10 Deviations.

Subpart 201-45.5—Standard and Optional Forms Management Program

201-45.500 Scope of subpart.
201-45.500-1 Objectives.
201-45.501 Authority.
201-45.502 Agency responsibilities.
201-45.503 GSA responsibilities.
201-45.504 Approval, disapproval, and cancellation procedures.
201-45.504-1 Approval and disapproval of Standard and Optional forms.
201-45.504-2 Cancellation of Standard and Optional forms.
201-45.505 Interagency Committee on Medical Records (ICMR) responsibilities.
201-45.505-1 Clearance of medical Standard forms.
201-45.506 Standard and Optional forms coordination with interagency reporting approved by GSA.
201-45.507 Standard and Optional forms used for collections of information from the public or State or local governments.
201-45.508 Reporting requirements.
201-45.509 Overprinting of Standard and Optional forms.
201-45.510 Exceptions to Standard and Optional forms.
201-45.510-1 Policy.
201-45.510-2 Clearance procedures for exceptions.
201-45.510-3 Review of exceptions.
201-45.511 Program review.
201-45.512 Employee suggestions.
201-45.513 Obtaining forms.
201-45.514 Procurement of stocks of Standard and Optional forms.

Subpart 201-45.6—Interagency Reports Management Program

201-45.600 Scope of subpart.
201-45.601 Authority.

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Sec.
201-45.602 Objectives.
201-45.603 Agency responsibilities.
201-45.604 Establishing or revising interagency reporting requirements.
201-45.605 Extending interagency reporting requirements.
201-45.606 Justifying interagency reporting requirements.
201-45.607 Cost estimates.
201-45.608 Discontinuing interagency reporting requirements.
201-45.609 Special provisions.
201-45.309-1 Exemptions.
201-45.609-2 Deviations.
201-45.609-3 Classified reporting requirements.
201-45.610 Coordination with other clearance authorities.
201-45.610-1 Interagency/public reporting requirements.
201-45.610-2 Interagency reporting coordination with Standard and Optional forms approved by GSA.
201-45.611 Obtaining forms.

Subpart 201-45.7—[Reserved]

Subpart 201-45.8—Technical Assistance

201-45.800 Scope of subpart.
201-45.801 Services available.
201-45.802 Technical advice and assistance on records management programs.
201-45.803 Technical assistance involving studies and surveys.
201-45.804 Request for service.

AUTHORITY: Sec. 205(c), 63 Stat. 390; 40 U.S.C. 486(c).

SOURCE: FIRMR Amdt. 3, 50 FR 26913, June 28, 1985, unless otherwise noted.

§ 201-45.000 Scope of part.

This part prescribes and promulgates standards, procedures, and techniques for managing Federal records in order to facilitate and support agency operations.

Subpart 201-45.1—Creation, Maintenance, and Use of Records

§ 201-45.100 Scope of subpart.

Chapters 29 and 31 of title 44, United States Code, give the Administrator of General Services and the heads of Federal agencies responsibility for the development and implementation of standards and programs for the management of Federal records. Such programs must encompass all types of records (whether paper, microforms, magnetic disks and tape, or other media) at all levels of organization, headquarters and field.

§ 201-45.101 General provisions.

§ 201-45.101-1 Agency action.

(a) The head of each Federal agency, in meeting the requirements of 44 U.S.C. 3102, shall observe the responsibilities and standards set forth in this Subpart 201-45.1 and regulations issued by the National Archives and Records Administration (NARA) in 36 CFR Ch. XII. These responsibilities and standards are basic to the Governmentwide management of records; however, the application of the program responsibilities by individual agencies may be influenced by factors such as agency size, organization, mission, and recordkeeping activity.

(b) Each Federal agency shall:

(1) Assign to an office(s) of the agency the responsibility for the development and implementation of agencywide programs for the management of correspondence, reports, forms, directives, copy, mail, files, micrographics, and records equipment and supplies. When organization arrangement, size, or complexity requires, actual control may be established at bureau, service, or office level. Programs at these control points will operate within the framework of the overall agency plan;

(2) Issue a directive(s) establishing program objectives, responsibilities, and authorities. A copy of each directive issued (and subsequent amendments or supplements) should be readily available for inspection by the Office of Information Resources Management, GSA; and

(3) Ensure that cost-effective records systems are established. To the maximum extent practicable create paper records no larger that 8½ x 11 inches. Limiting paper records to no larger than this size will help eliminate the need for legal-size files, file folders, copiers, and copy paper, and for oversize envelopes. It may also help save the space currently wasted by using legal-size filing equipment to store mainly lettersize or smaller records.

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§ 201-45.102 Correspondence Management.

§ 201-45.102-1 Objectives.

The objectives of correspondence management are to limit correspondence to essential requirements, to improve the quality of necessary correspondence, and to provide for its creation in an economical and efficient manner.

§ 201-45.102-2 Agency responsibilities.

(a) Each Federal agency shall have an appropriate program for the management of agency correspondence (§ 201-45.101-1). The program shall:

(1) Prescribe the types of correspondence to be used in official agency communications;

(2) Establish and implement agency standards concerning the number and kind of copies required and their distribution and purpose;

(3) Implement the correspondence standards set forth in the U.S. Government Correspondence Manual and in pertinent GSA information resources management handbooks, (see Appendix C of the looseleaf edition of the FIRMR) with such modifications as may be necessary for specialized agency practices;

(4) Implement the Governmentwide standards issued by GSA for the procurement and use of letterheads, manifold paper, memorandum forms, and envelopes; and

(5) Review, on a continuing basis, agency correspondence practices and procedures to find opportunities for improvement and simplification.

(b) Standards, guides, and instructions developed for the agency correspondence management program are to be in published form, designed for easy reference and revision. They should be readily available to those who write, review, sign, type, and file correspondence.

§ 201-45.102-3 Agency implementation.

The following actions are basic to a correspondence management program.

(a) Prepare only necessary correspondence and essential copies.

(b) Use form letters to the maximum extent possible and use guide letters and paragraphs when practical following the standards, guides, and principles set forth in the GSA information resources management handbook, Form and Guide Letters (see Appendix C of the looseleaf edition of the FIRMR).

(c) Originate letters that are carefully planned, easily read and understood, and responsive to the needs of the recipient by applying the standards, guides, and principles set forth in the GSA information resources management handbook, Plain Letters (see Appendix C of the looseleaf edition of the FIRMR).

(d) Prepare correspondence that is consistent in style and format, neat and attractive in appearance, and editorially correct by applying the standards, guides, and principles set forth in the U.S. Government Correspondence Manual (see Appendix C of the looseleaf edition of the FIRMR).

(e) Establish realistic time limits for replying to White House, Congressional, and public correspondence. Limit letters of a purely acknowledgement nature to cases in which a considerable time may be needed for a substantive reply.

(f) Develop and install procedures that expedite and limit correspondence clearance, reviews, and signing.

(g) Provide for periodic spotchecks of agency correspondence to determine compliance with standards.

§ 201-45.103 Reports management.

§ 201-45.103-1 Objectives.

The objectives of reports management are to ensure (a) that agency management officials are provided with the exact information needed in the right place, at the right time, and in the format most useful to them for informed decision-making, (b) that both the output (report) of agency systems or procedures as well as the reporting systems themselves are well designed, and (c) that interagency reports management (Subpart 201-45.6) and public reporting and recordkeeping requirements under the Paperwork Reduction Act of 1980 and OMB regulations in 5 CFR Part 1320 are well managed.

§ 201-45.103-2 Agency responsibilities.

(a) Each Federal agency shall have an appropriate program for the management of its internal reporting requirements (§ 201-45.101-1). The program shall:

(1) Establish and implement standards and procedures for identifying information needed for planning, decision-making, controlling, and evaluating;

(2) Establish and implement standards and procedures for the design of reports used in management information systems;

(3) Establish and implement standards and procedures for initiating, identifying, reviewing, approving, preparing, and distributing internal reporting requirements;

(4) Provide essential management information concerning the number and types of reports in use and, for reports which require a significant amount of staff time and other resources, the estimated costs of development, operation, and use (§ 201-45 103-1(c)); and

(5) Provide for the periodic review of approved reports for need, adequacy, design, and economy of preparation and use.

(6) Ensure that all applicable laws and statutes (e.g., Freedom of Information Act (5 U.S.C. 552), the Privacy Act of 1974 (5 U.S.C. 552a), Federal Information Processing Standards (FIPS) (40 U.S.C. 759(f); 15 CFR Part 6)) and regulations issued by NARA (36 CFR Ch. XII) are considered in the development of internal reporting requirements.

(b) Standards, guides, and instructions developed for the reports management program shall be published and designed for easy reference and revision.

(c) Approval, modification, or disapproval of internal agency reporting requirements shall be based on an objective cost effectiveness evaluation in accordance with costing guidelines issued by GSA, unless reporting is exempted in accordance with § 201-45.103-2(d). Cost estimates of internal reporting requirements shall cover the same reporting costs defined for interagency reports and be based on the same costing alternatives specified for interagency reports (§ 201-45.607).

(d) The following external reporting requirements are exempted from the provisions of this subpart (however, internal agency reporting requirements that may be developed by an agency in order to respond to an exempted external reporting requirement are subject to the provisions of this subpart):

(1) Legislative branch requirements in statutes or congressional committee requests;

(2) Judicial branch requirements in court orders or other judicial determinations;

(3) Presidential requirements in Presidential directives; and

(4) OMB budgetary, program review and coordination, and legislative clearance requirements.

§ 201-45.103-3 Agency implementation.

The following actions are basic to a reports management program:

(a) Establish and maintain an inventory of internal and external recurring reports;

(b) Develop the kinds of reporting systems that best serve management;

(c) Analyze all reports inventoried and all reports submitted for approval to determine that:

(1) The information is adequate, necessary, meaningful, and useful,

(2) The information is obtained from the best available source and in the simplest manner,

(3) The reporting frequency is consistent with the time the information is actually needed, and

(4) The estimated cost of gathering the information does not exceed its management value;

(d) Require that each request for a new or revised report explains how the report will be used; and

(e) Require that each recurring report is supported by a directive containing instructions for preparation and submission.

§ 201-45.104 Forms management.

§ 201-45.104-1 Scope of section.

Section 201-45.104 provides policies and guidelines for managing, administering, and implementing Federal agency forms management programs.

§ 201-45.104-2 Relationship to other directives.

(a) Subpart 201-45.5 sets forth the scope, objectives, goals, and procedures required to manage and operate the Standard and Optional Forms Program.

(b) Part 201-8 contains guidance regarding Federal Information Processing Standards applicable to forms management, particularly regarding the use of data standards applicable to the interchange of machine-processable data between and among agencies. (See § 201-8.1307-1.)

§ 201-45.104-3 Objectives.

Each Federal agency's forms management program shall:

(a) Eliminate unnecessary forms by justifying the need for existing and proposed forms;

(b) Reduce systems' operating costs and increase systems' efficiency by developing forms that are easy to fill-in, read, transmit, process, and retrieve;

(c) Reduce reproduction costs and improve productivity by appropriately designing and printing forms; and

(d) Periodically evaluate agency forms for continuing effectiveness and improvement.

§ 201-45.104-4 Agency responsibilities.

Each Federal agency shall establish and maintain a forms management program for those forms with an annual use of 100 copies or more as part of a continuing records management effort and shall assign responsibility to a specific official or office that will:

(a) Develop program objectives; define responsibilities and authorities; issue directives; and establish procedures for submitting, reviewing, approving, and identifying agency forms, including ADP systems forms;

(b) Use forms analysis and design standards described in pertinent GSA information resources management handbooks (see Appendix C of the looseleaf edition of the FIRMR);

(c) Train persons who analyze, design, coordinate, and manage forms;

(d) Review the forms management program regularly to determine the adequacy of the system and its effectiveness in meeting agency needs;

(e) Ensure compliance with agency forms management policies and procedures;

(f) Review all requests for new forms and all reprints or revisions of existing paper forms to ensure that:

(1) All forms efficiently collect data necessary to the agency's mission;

(2) Forms meet all requirements of applicable statutes, standards, and regulations;

(3) Each form is supported by a directive setting forth instructions for preparing, submitting, and using the form (not applicable to self-explanatory forms used by a single organizational element such as an office, division, or region; for temporary and test forms the instructions should be issued but do not need to be in the agency directives system);

(4) Paper forms are designed for economical printing, stocking, and distributing;

(5) An adequate supply of paper forms is procured; and

(6) Forms used to gather information from the public or State or local governments display the OMB control number and expiration date in the upper right hand corner of the form as required by 5 CFR 1320.7(f)(1).

(g) Review at least annually the most frequently used forms and those forms that create a significant burden for preparation for continued need and possible improvement;

(h) Assign a title, a form number, an edition date, and a department/agency/bureau identification to each form;

(i) Classify and group all forms by function and subject to aid in systems analysis, cross-referencing, and combining or eliminating forms;

(j) Maintain a historical case file for each controlled form, including information on each form's purpose, use, disposition, development, clearance, and (if appropriate) publication;

(k) Compile and maintain developmental and operational costs for public-use and interagency report forms using the format and instructions contained in Standard Form 335, Summary Worksheet for Estimating Forms Costs (as described in FIRMR Bulletin 18);

73-134 O—86——7

(l) Use the costing format and instructions contained in Standard Form 335 when the agency chooses to compile cost data on its internal forms;

(m) Maintain a list of current forms the agency uses;

(n) Encourage testing of forms and procedures to collect information economically and efficiently; and

(o) Promote forms management concepts, benefits, and training within the agency.

§ 201-45.104-5 GSA assistance.

GSA will guide and assist Federal agencies in creating, maintaining, and using records, including forms. The Office of Information Resources Management, GSA, provides standards, guidelines, and training materials regarding forms management for all Federal agencies. Specific advice and assistance may be obtained by contacting the General Services Administration (KL), Washington, DC 20405.

§ 201-45.105 Directives management.

§ 201-45.105-1 Scope of section.

Section 201-45.105 provides Federal agencies with standards and guidelines for establishing and managing effective directives systems. Agency implementation of this § 201-45.105 should be commensurate with the agency size, complexity, expected duration, etc.

§ 201-45.105-2 [Reserved]

§ 201-45.105-3 Objectives.

The objectives of directives management are to provide agency managers with the means to effectively and efficiently convey written instructions to users and to document agency policies and procedures.

§ 201-45.105-4 Agency responsibilities.

Each Federal agency, to provide for effective, continuing directives management, shall:

(a) Assign to all agency managers the responsibility for preparing and maintaining directives needed to carry out their assigned responsibilities;

(b) Assign overall responsibility for planning, organizing, and controlling the directives management program to an office at the department or agency level, and delegate directives management functions, as needed, to lower organizational levels;

(c) Issue a directive(s) that states the purpose, responsibilities, authorities, policies, standards, and procedures of the agency's directives program;

(d) Organize agency directives systemtically so that they are readily available to users by:

(1) Developing an integrated directives system that includes all agency policies and procedures,

(2) Classifying directives by subject so that all directives on any subject can be readily identified,

(3) Maintaining current indexes of existing directives and other finding aids, as necessary, so users may easily locate the directives they need,

(4) Establishing distinctive formats for directives so recipients can recognize them as authoritative agency instructions,

(5) Differentiating between permanent and temporary directives and ensuring that temporary directives carry expiration dates, and

(6) Maintaining directives in a form, such as looseleaf binders, where obsolete or revised materials may be easily removed or inserted;

(e) Ensure that directives are clearly written by:

(1) Establishing and implementing writing standards for directives, and

(2) Identifying the audience for each directive, and writing so that the intended readers can easily understand it;

(f) Ensure that directives are useful by:

(1) Providing users with only necessary information,

(2) Keeping directives current by issuing changes as needed, and

(3) Providing for the issuance of supplemental directives to permit overall agency direction to be adapted to local conditions by field and other organizational components, provided that supplemental directives are consistent with the intent of the originals;

(g) Review each proposed directive to ensure that it is necessary, accurate, complete, and understandable;

(h) Coordinate and clear each proposed directive to avoid issuing conflicting policies or procedures;

(i) Establish and publish effective and efficient procedures for the timely reproduction and distribution of directives;

(j) Furnish copies of directives only to those who need them by:

(1) Requiring originators to identify those with a "need to know" or a "need to act" for each new directive for the purpose of developing accurate distribution lists,

(2) Annually reviewing and updating distribution lists for directives, and

(3) Periodically distributing checklists of current directives so users can determine whether they have received relevant directives;

(k) Require originators to review each directive for need and currentness at least biennially, and require originators to certify whether to continue, revise, or cancel each directive;

(l) Conduct training, or provide written guidance, as follows:

(1) For managers, on the importance of using the directives system to provide written instructions for accomplishing the agency's objectives,

(2) For directives originators, on the writing style and proper format for directives, and

(3) For users, on how to use the directives system; and

(m) Evaluate the effectiveness and cost of the directives system, as follows:

(1) Maintain essential management information on the operation of directives systems. Examples of this information are data on the cost and time required to prepare, clear, and distribute directives; and annual workload data on the number of pages of directives issued, revised, and canceled. This information may be collected on a sampling basis;

(2) Annually review high-cost or high-volume directives activities to find opportunities for improvement;

(3) Evaluate annually the operating performance of the directives system. For example, select a sample of agency directives to find out if the intended recipients (i) received the directive, (ii) received it before its effective date, (iii) needed it, and (iv) understood it and acted correctly; and

(4) Evaluate the application of technologies, such as automatic data processing (including word processing), micrographics, photocomposition, and facsimile transmission, as means of improving the efficiency and effectiveness of the directives system.

§ 201-45.105-5 Additional information.

For more details on managing a directives system, refer to GSA's information resources management handbook, Communicating Policy and Procedures (see Appendix C of the looseleaf edition of the FIRMR). For instructions on preparing external directives for publication in the FEDERAL REGISTER, consult the "Document Drafting Handbook," available from the U.S. Government Printing Office.

§ 201-45.106 Copy management.

§ 201-45.106-1 Scope of section.

Section 201-45.106 sets forth the copy management responsibilities of the General Services Administration and other Federal agencies. It provides guidance to Federal agencies on managing copying practices and copying equipment. It does not apply to the reproduction of micrographic, photographic, or machine-readable records or to associated equipment.

§ 201-45.106-2 Authority.

As required by Chapter 29 of Title 44, United States Code, the Administrator of General Services shall provide guidance and assistance to Federal agencies regarding the reproduction of records and the selection and use of equipment and supplies associated with the copying of records. This regulation does not relieve Federal agencies of their responsibilities under chapters 1 through 19 of title 44 U.S.C.

§ 201-45.106-3 Agency responsibilities.

To ensure good copying practices and proper equipment management, each agency shall:

(a) *Determine availability of common centralized services.* Before agencies consider purchase or rental of

copying equipment, they shall first determine the availability of common centralized services, such as GSA print plant and copy centers, to ensure that the required copying capability cannot be met economically and efficiently through the use of centralized services (see also FPMR Subpart 101-5.2, Centralized Field Duplicating Services).

(b) *Match equipment to copying needs.* (1) Whenever acquisition of copying equipment is planned, agencies shall determine the users' copying requirements. The following kinds of information are needed:

(i) Average number of copies needed per month;

(ii) Physical characteristics of materials routinely copied (e.g., copy size, individual sheet or bound volumes, etc.);

(iii) Average number of pages per document;

(iv) Average number of copies per page;

(v) How the copies are used; and

(vi) How quickly they are needed.

(2) Each piece of copying equipment shall be used according to its operating characteristics and limitations. Equipment that is overused is likely to fail and be unavailable for use, and equipment that is used at levels significantly below its rated capacity is not economical.

(3) When deciding on the types of equipment to be acquired, agencies shall consider both direct and indirect costs of copying. Direct costs include such items as the lease or purchase price of equipment, the cost of maintenance and supplies, and the salaries of full-time equipment operators. Indirect costs include such items as overhead and the amount of time consumed by personnel in seeking and obtaining copying services. Copying service contracts, ranging from the provision and maintenance of equipment and supplies to complete copying services, are offered by private companies. An agency shall decide to contract for copying services if contracting is more economical than using its own resources. (See Office of Management and Budget Circular A-76 for guidance on acquiring commercial products and services.)

(c) *Maintain records.* To determine the proper use and most cost-effective and economical placement of equipment, agencies shall establish inventory records for each machine. Records shall include the following information:

(1) Equipment brand, model number or name, and serial number;

(2) Type of procurement (lease, purchase, or lease-with-option-to-purchase) and installation date;

(3) Essential provisions of the lease plan or, if owned, the purchase price and essential elements of the maintenance plan, if any;

(4) Number of copies produced by month;

(5) Equipment characteristics, such as production speed, significant accessories or special features, and special electrical requirements;

(6) A record of repairs and maintenance; and

(7) Information on the operating environment, such as machine location, organizations served, and whether access to the machine is unrestricted, restricted to a full-time operator, or otherwise limited.

(d) *Review equipment requests.* Requests for equipment shall be reviewed by offices with authority to ensure economical procurement and placement of equipment. Reviews shall include:

(1) Study of the current copying needs of the requesting office;

(2) Consideration of projected copying needs of the requesting office;

(3) Analysis of the present use of equipment by the requesting office;

(4) Consideration as to whether the requesting office should share existing equipment, acquire its own, upgrade existing equipment, or use some combination of these alternatives;

(5) A determination of whether alternate reproduction methods are practical;

(6) A cost/benefit analysis of any feasible equipment alternatives, including a determination of whether purchase or lease would be more economical (see FPMR Subpart 101-25.5, Guidelines for Making Purchase or Lease Determinations); and

(7) Study to determine the best location for the equipment.

(e) *Review supply procurement policy.* Agencies shall review at least annually, procurement methods and sources for supplies, such as paper, toner, ink, and duplicating masters. Options, such as blanket purchase agreements, bulk purchasing, and procurement under General Services Administration contracts, may offer lower costs.

(f) *Review copy management efforts.* Agencies shall conduct periodic reviews to determine whether improvements are necessary. Practices shall be audited to determine whether they can be improved. Records shall be reviewed to identify areas of potential improvements in equipment management.

§ 201-45.106-4 GSA responsibilities.

To assist Federal agencies in planning, developing, and evaluating copy management programs, GSA will:

(a) Provide guidelines on developing and maintaining a copy management program. These will consist of handbooks and guides for evaluating agency programs (see Appendix C of the looseleaf edition of the FIRMR);

(b) Provide advice and assistance in carrying out copy management studies and in program management; and

(c) Periodically review agency programs to determine what improvements can be made.

§ 201-45.107 Mail management.

§ 201-45.107-1 Objectives.

The objective of mail management is to proivide rapid handling and accurate delivery of mail throughout the agency at minimum cost. To do this, processing steps are kept to a necessary minimum; sound principles of work flow are applied; modern equipment, supplies, and devices are used; and, in general, operations are kept as simple as possible, so as to increase efficiency.

§ 291-45.107-2 Agency responsibilities.

(a) Each Federal agency shall have an appropriate program for the management of agency mail to:

(1) Establish and implement standards and procedures for the receipt, delivery, collection, and dispatch of mail;

(2) Implement the mail management standards set forth in the GSA information resources management handbook, Managing the Mail (see Appendix C of the looseleaf edition of the FIRMR);

(3) Provide essential management information concerning the volume and types of mail processed and time requirements for internal delivery and mailing; and

(4) Review, on a continuing basis, agency mail practices and procedures to find opportunities for improvement and simplification.

(b) Standards, guides, and instructions developed for the agency mail management program shall be in published form, designed for easy reference and revision. They should be readily available to those concerned with mail and messenger operations. In addition, pertinent information for users of mail and messenger services should be given the widest possible dissemination.

§ 201-45.107-3 Agency implementation.

The following actions are basic to a mail management program:

(a) Deliver mail to the action office within shortest possible time after receipt (Objective should be 4- to 6-hour delivery.);

(b) Limit mail followup control to security mail or mail important because of its source or content;

(c) Use the U.S. Postal Service (USPS) when:

(1) Required by law, or

(2) USPS rates are equal to or less than rates for the same service furnished by other vendors;

(d) Provide central control with established schedules for messenger services; and

(e) Dispatch mail at the cheapest rate consistent with the need for service.

(f) Review and purge mailing lists annually to eliminate improper addresses, duplicate addresses, and the names of those no longer desiring to receive materials and, where possible, to effect postage and other savings by

consolidated mailing to a single address.

(g) Design and print, to the fullest extent practicable, mailable single piece publications with a self-mailer format and mail by the most economical service consistent with need and postal regulations.

§ 201-45.108 Files management.

§ 201-45.108-1 Objectives.

The objectives of files management are to cost effectively organize agency files so that needed records can be found rapidly, to ensure that records are complete, to facilitate the selection and retention of permanent records, and to accomplish the prompt disposition of noncurrent records in accordance with NARA-approved disposition schedules.

§ 201-45.108-2 Agency responsibilities.

Each Federal agency shall have an appropriate program for the management of agency files. Specifically, each agency shall:

(a) Establish and implement standards and procedures for classifying, indexing, and filing records as set forth in joint GSA-NARA handbooks (see Appendix C);

(b) Formally specify official file locations;

(c) Standardize reference service procedures for finding, chargeout, and refiling of agency records;

(d) Standardize, to the extent possible, the equipment and supplies used in filing and reference service operations by using standard items stocked by GSA's Office of Federal Supply and Services;

(e) Make available to all employees published standards, guides, and instructions designed for easy reference and revision; and

(f) Review the program periodically to determine the adequacy of the filing system and its effectiveness in providing records requested.

§ 201-45.108-3 GSA responsibilities.

GSA is responsible for furnishing guidance on filing systems to agencies. Filing systems include classification and filing schemes, file locations, filing procedures, file retrieval procedures, chargeout procedures, and refiling procedures for records on paper, microfilm, and electronic media. Such filing system guidance will be compatible with regulations issued by the National Archives and Records Administration (36 CFR Ch. XII).

§ 201-45.109 Micrographics management.

§ 201-45.109-1 Scope of section

This section provides standards and guidelines for using micrographics technology in the creation, use, storage, and retrieval of Federal records. Additional guidance on the use of micrographics is available in GSA information resources management handbooks, Micrographics System Analysis and Computer Output Microfilm (see Appendix C of the looseleaf edition of the FIRMR), and in NARA regulations (36 CFR Ch. XII).

§ 201-45.109-2 Agency responsibilities.

Each agency shall:

(a) Issue internal regulations and procedures for the submission, review, and approval or disapproval of proposed micrographics systems and applications;

(b) Issue procedures for evaluating the continued efficiency and effectiveness of micrographics systems and applications;

(c) Review ongoing micrographics systems periodically for conformance to established policies, procedures, and standards;

(d) Develop and maintain complete and accurate inventories of micrographics production and reproduction equipment within the agency; e.g., cameras, processors, duplicators, and COM recorders, for the purpose of resource management. The inventories shall, as a minimum, include: type of equipment, name of manufacturer, model and serial number, date of acquisition, location, and purchase or rental status;

(e) Disseminate publications containing micrographics standards and guidelines and other current information concerning the advantages and limitations of micrographics systems to managers and operating officials involved in the development or operation of micrographics systems; and

(f) Assign responsibility for the review and approval of all micrographics systems. The responsible office or official shall establish procedures for the review and approval of ongoing and proposed systems and application requests to ensure that they are complete and contain the information shown in § 201-45.109-4.

§ 201-45.109-3 GSA responsibilities.

GSA shall:

(a) Disseminate to agencies the standards and criteria necessary for developing, evaluating, and operating micrographics systems.

This includes:

(1) Information to acquaint potential users with micrographics technology and its various applications;

(2) Methods and procedures for conducting feasibility studies;

(3) Criteria for estimating cost and guidelines for comparing existing and proposed systems with alternative approaches;

(4) Standards for microforms and formats, and guidelines for selecting appropriate micrographics systems for specific types of applications; and

(5) Standards and guidelines for evaluating the continuing efficiency and effectiveness of micrographics systems;

(b) Analyze Governmentwide practices through research projects and inspections to determine areas in which the application of micrographics will improve efficiency and effectiveness in the creation and use of documents and information;

(c) Conduct periodic inspections of agencies' micrographics programs as part of the GSA program evaluation prescribed in § 201-22.003, Agency program evaluation; and

(d) Coordinate with the Government Printing Office (GPO) on matters involving micropublishing; with the National Bureau of Standards (NBS) on Federal Information Processing Standards concerning micrographics; and with the National Archives and Records Administration (NARA) on micrographics systems for permanent records.

§ 201-45.109-4 Micrographics systems analysis.

(a) A systems analysis including a cost/benefit analysis shall be conducted by the agency prior to the decision to establish a micrographics system. The cost/benefit analysis shall include a comparative cost analysis in accordance with Office of Management and Budget (OMB) Circular A-76, if it meets those guidelines.

(b) The systems analysis shall contain the following items:

(1) An examination of the current operating system to evaluate the need for the documents or information and the use to which they are put;

(2) A consideration of the alternatives to micrographics including such measures as:

(i) Revising records control schedules to provide for the disposition of paper records by disposal, by transfer of inactive paper records to the Federal records centers, or by offer of permanently valuable paper records to the National Archives and Records Administration (NARA) (36 CFR Chapter XII); and

(ii) Improving current retrieval and distribution procedures using paper records;

(3) A consideration of all feasible alternative methods of creating the microform records, such as:

(i) Acquisition of new equipment,

(ii) Lease-purchase of equipment already installed,

(iii) Sharing micrographics production equipment already in the agency,

(iv) Using the micrographics facility of another agency,

(v) Contracting for NARA reimbursable micrographics services,

(vi) Contracting with a non-Government commercial services firm, and

(vii) Other alternatives identified in the analysis;

(4) An analysis of the workload and staffing requirements to ensure sufficient trained personnel to operate and maintain the micrographics system;

(5) An examination of the information needs of the user when determining reduction ratio, format, quality control procedures, viewing equipment, and user training;

(6) A review to ensure compatibility of microforms used within the agency and those used to transmit information to other agencies and the public;

(7) A determination of the availability and cost of specialized space requirements; i.e., temperature and humidity control or plumbing; and

(8) A review to ensure adherence to NARA standards for the photographic and micrographics production and reproduction of records.

(c) The chosen alternative shall be the most cost effective and efficient system unless overriding intangible benefits necessitate an alternate decision.

(d) Procurement of COM equipment is subject to those FIRMR provisions governing ADP. (See particularly Subparts 201-24, 201-30, and 201-32.)

§ 201-45.110 Records equipment and supplies management.

§ 201-45.110-1 Objectives.

The objectives of a record equipment and supplies management program are to ensure that Federal agencies obtain equipment and supplies that are necessary and suitable to agency records operations, and that such equipment and supplies are available and are used properly.

§ 201-45.110-2 Agency responsibilities.

Each Federal agency shall have a program to manage agency records equipment and supplies to:

(a) Standardize records equipment and supplies;

(b) Review requests for the acquisition of records equipment and supplies for need and standardization;

(c) Acquire standard equipment and supplies available from the Office of Federal Supply and Services, General Services Administration;

(d) Review new developments in the field of records equipment and supplies; and

(e) Review currently owned and rented equipment to determine that it is needed, properly used and maintained, and updated as required.

Subparts 201-45.2—201-45.3 [Reserved]

Subpart 201-45.4—Stationery and Supplies

§ 201-45.400 Scope of subpart.

This subpart sets forth standards for stationery and related Standard and Optional forms.

§ 201-45.401 Stationery standards.

§ 201-45.401-1 General provisions.

Section 201-45.401 prescribes mandatory standards for selection and use of blank and printed stationery paper, including the format designs of formal letters and informal letters (memoranda). Also prescribed are formal standards for the Optional Form 10, U.S. Government Memorandum; Optional Form 41, Routing and Transmittal Slip; Optional Form 27, United States Government 2-Way Memo; Standard Form 63, Memorandum of Call; and Standard Form 65, U.S. Government Messenger Envelope.

§ 201.45.401-2 Standard stationery specifications.

Government stationery standard specifications are set forth in the "Table of Standard Specifications" as follows:

TABLE OF STANDARD SPECIFICATIONS

Item	Color		Size		Paper quality shall not exceed		
					Substance		
	Paper	Printing	Inches (width × length)	Millimeters [1] (width × length)	Grade [2]	Pounds [3]	Grams [4] (g/m^2)
STATIONERY							
Letterhead stationery designed for window envelopes	White	One color	8.5 × 11 8.5 × 7.3 8.5 × 5.5	216 × 279 216 × 185 216 × 140	50 percent rag or 25 percent rag	16 20	60 75
Continuation sheets	Match agency letterhead	None	8.5 × 11	216 × 279	50 percent rag or 25 percent rag	16 20	60 75
Manifold (tissue) letterhead	White	Match agency letterhead	8.5 × 11	216 × 279	25 percent rag	9	34
Manifold (tissue)	Yellow and white [5]	None					
Memorandum stationery designed for window envelopes	White	Match agency letterhead	8.5 × 11 8.5 × 7.3 8.5 × 5.5	216 × 279 216 × 185 216 × 140	CW (writing) or 25 percent rag	20 16	75 60
Continuation sheets	Match memo stationery	None	8.5 × 11	216 × 279	CW (writing) or 25 percent rag	20 16	75 60
Manifold (tissue)	Yellow and white [5]	None	8.5 × 11	216 × 279	25 percent rag	9	34
	White	Match agency letterhead color and style	([6])	([6])	Determined by the Office of Federal Supply and Services	24	90
Envelopes	Brown	Black ink in agency letterhead style or green ink in agency style when diamond borders are used	([6])	([6])	Kraft	28	105
United States Government memorandum (OF 10)	White	Black	8.5 × 11 8.5 × 5.5	216 × 279 216 × 140	CW (writing)	20	75
Memorandum of call [SF 63 (pads)]	([7])	([7])	4 × 5.2	102 × 132	([7])	([7])	([7])
U.S. Government Messenger Envelope							
(SF 65A)	Brown	Dark brown	4.25 × 9.5	108 × 241	Kraft	24	90
(SF 65B)	Brown	Dark brown	9.75 × 12	248 × 305	Kraft	24	90
(SF 65C)	Brown	Dark brown	12 × 16	305 × 406	Kraft	24	90
Routing and Transmittal Slip (OF 41)	([7])	([7])	8 × 5.25	203 × 133	([7])	([7])	([7])
United States Government 2-Way Memo (OF 27)	White/Yellow/Pink	Black	8.5 × 11	216 × 279	Chemical transfer	9	32

[1] Sizes rounded to whole millimeter.

BEST COPY AVAILABLE

[2] CW - Chemical Wood
[3] Weight per 500, 17" × 22" sheets
[4] Weight per sheet, per square meter
[5] Other colors may be used but paper quality shall not exceed 25 percent rag, 9 lbs (34 grams per square meter)
[6] Use smallest possible
[7] At discretion of GPO

§ 201-45.401-3 Procurement and stocking.

Agencies shall:

(a) Procure stationery through normal supply channels;

(b) Procure Standard and Optional forms, prescribed in §201-45.401-9, from the Office of Federal Supply and Services, General Services Administration;

(c) Establish procedures to ensure that stationery inventories are economically maintained at levels consistent with need;

(d) Maintain economical levels and distribute stationery to avoid unneeded storage costs; stock loss due to deterioration; and obsolescence due to geographical, organizational, name, and design changes. Generally, agencies should limit stationery stock levels to a 1 year's supply;

(e) Limit stationery styles and sizes to the minimum needed to ensure efficient and effective program operations;

(f) Not change stationery designs without written justification, approved by the head of the agency, or if so delegated, the senior official for information resources management, documenting improved program operations; and

(g) Ensure that all reasonable, orderly, and economical means are used to deplete obsolete stationery; and

(h) Not procure printed stationery having any:

(1) Embossing,

(2) Telephone numbers,

(3) Advertising by or for any private individual or commercial activity,

(4) Illustrations, except for the official agency logo in the letterhead or return address, or

(5) Personal names, except those memorialized on buildings or in institutions.

§ 201-45.401-4 Printing of letterhead stationery.

Agencies may design letterhead stationery subject to the following conditions:

(a) The design provides for economical printing and efficient letter preparation;

(b) Requirements of § 201-45.401-2, are followed;

(c) The letterhead design is across the 8.5-inch top edge, supports the economical use of labor and materials, and does not prevent the proper use of window envelopes;

(d) Readily available type fonts, for which there is no additional charge, are used;

(e) The letterhead of agencies with a unique 5-digit ZIP Code is limited to the agency's full name and return address (city, State, and ZIP Code). For example:

Public Service Agency
Washington, DC 00000

The head of the agency or, if so delegated, the senior official for information resources management may grant written exceptions only to major bureaus, offices, and services, provided the cost to print, distribute, stock, and use additional letterhead is less expensive than the clerical cost to type titles, etc.;

(f) The letterhead of agencies having more than one location where mail is received directly from USPS, or having offices that require other address block data to aid in return mail delivery, may also contain the street address of other identifying address, in addition to the items listed in paragraph (e) of this section; for example:

Public Service Agency
Region 00
Anytown, OK ZIP Code.

Public Service Agency
Service Building, Room 000
Anytown, MO Z'P Code;

(g) No other printing occurs below the letterhead, except as required in this section and except for non-letterhead printing of form letters;

(h) The head of the agency or, if so delegated, the senior official for information resources management determines that Optional Form 10 will not

adequately serve an agency's needs for informal letterhead;

(i) End-of-text marks, fold marks, and marks to align the address block in a window envelope are to be preprinted on all letterhead stationery, but the head of the agency, or, if so delegated, the senior official for information resources management may grant a written exception to preprinted marks on formal letterhead; and

(j) In the left margin, below agency designed informal letterhead (memorandum), are printed, in this order and flush with the left typing margin: Date, Reply to Attention of (or From), Subject, and To. For additional information, see the U.S. Government Correspondence Manual, Part 1, Chapter 1.

§ 201-45.401-5 Preparing and using letterhead stationery.

Agencies shall ensure that formal letterhead and informal letterhead (memorandum) stationery is prepared by the most economical use of labor and materials, including the style, format and other efficient steps prescribed in the U.S. Government Correspondence Manual (see § 201-45.102-2(a)(3)). Informal letterhead (memorandum) shall be the principal letterhead used in written, intra- and interagency correspondence.

§ 201-45.401-6 Manifold (tissue) sheets.

Agencies shall create copies only when need has been determined and shall use tissues to make them. A substitute for tissue sheets is permitted, provided (a) equal or better copy quality is maintained and (b) labor and material costs to produce the substitution are no greater than those for tissue preparation (see § 201-45.401-2). Agencies shall use yellow tissues for official file copies if the record copy is to be filed in paper form. White tissues shall be used for all other purposes, unless color will aid in processing, identification, or disposition. Letterhead tissues may only be used for formal letters to addressees outside the originating agency who specifically request letterhead copies.

§ 201-45.401-7 Envelopes.

Agencies shall ensure that:

(a) Except for self-mailers, no printing is done on the inside of envelopes;

(b) Envelopes are sent using the most economical service consistent with delivery needs;

(c) The material-plus-postage cost of "flat" envelopes, made from material other than that specified in § 201-45.401-2, is more economical for mailing than the material-plus-postage cost of kraft envelopes;

(d) Envelopes and post cards that will be processed by USPS meet mailing requirements and are eligible for the most economical mail service; and

(e) Use of lettersize window envelopes is specifically prescribed in written agency policy requiring maximum possible use, except for mailing material that:

(1) Involves national security,

(2) Is highly confidential to the agency or the addressee,

(3) Is uneconomical to mail in window envelopes, or

(4) Is sent to high level officials in Government or the private sector.

§ 201-45.401-8 Envelopes and post cards.

(a) Agencies shall ensure that printed items on envelopes and post cards are arranged and located according to USPS specifications. Printed envelopes and post cards shall contain the agency's full name and return address, the penalty statement and the "official business" designation, as required by 39 U.S.C. 3202. When an agency pays the return postage, agency-supplied return envelopes and post cards must bear either prepaid postage or "Business Reply."

(b) Except for USPS-required items, no other printed, stamped, or affixed marking or design shall be placed on envelopes or on the front of post cards unless it has been determined in each instance that use of a given marking or design will either:

(1) Reduce the agency's costs;

(2) Expedite mail delivery or handling;

(3) Aid in the delivery of services to the public; or

(4) Promote a program or activity having major national impact. The use of each marking or design shall be approved in writing by the head of the

agency. The approval authority may only be delegated to the senior official for information resources management.

§ 201–45.401–9 Miscellaneous forms.

The following forms are illustrated in Appendix E of the looseleaf edition of the FIRMR.

(a) Optional Form 10, U.S. Government Memorandum.

This form is designed to aid informal, intra-agency or interagency correspondence preparation and is designed for use with window envelopes. (See the U.S. Government Correspondence Manual.) Standard spaces are provided for the date, addressee, subject matter, and sender. It may be overprinted with the agency's name and address at the top. It is intended for use by agencies whose needs are met by a single format and whose identification and data requirements, if any, do not justify agency-designed letterhead.

(b) Optional Form 27, United States Government 2-Way Memo.

This form is a 3-part carbonless set for informal communications. The message and reply are placed on the same page in brief informal language. It can be sent and returned in a window envelope, if an envelope is necessary.

(c) Optional Form 41, Routing and Transmittal Slip.

This form is designed to transmit brief informal messages and/or documents and not for use as a record of approvals, concurrences, disposals, clearances, or similar actions. Spaces are provided for routing, addressee initials, and the date.

(d) Standard Form 63, Memorandum of Call.

This form is designed to record telephone numbers, messages, or visits for personnel who are not available at the time of the call or visit. SF 63 is the only authorized memorandum of call, and agencies may not procure another type.

(e) Standard Form 65, U.S. Government Messenger Envelope.

This form is designed as a reusable envelope and is available in three sizes as SF 65–A (preferred), SF 65–B, and SF 65–C (see § 201–45.401–2). It is designed to transmit correspondence and other matter between agencies if not used as the outer cover for mail tendered to USPS. Any agency component may use SF 65 internally if it is processed only by agency messengers. Consecutively arranged spaces are provided on the front and back of the envelope for the name or title of the addressee, organization, and mail stop number. SF 65 is the only authorized messenger envelope, and agencies may not procure another type. SF 65 may not be used to transmit unenveloped materials covered by the Privacy Act.

§ 201–45.401–10 Deviations.

Agencies seeking a deviation from any provision of this Subpart 201–45.4 shall submit a written request in accordance with Subpart 201–1.4. Requests should include a statement of justification, pertinent specifications, and, if appropriate, scaled sample designs.

Subpart 201–45.5—Standard and Optional Forms Management Program

§ 201–45.500 Scope of subpart.

This subpart sets forth procedures for Federal agencies to follow in obtaining both the approval and cancellation of Governmentwide Standard and Optional forms. It also provides agencies' responsibilities for developing, promulgating, sponsoring, and managing Governmentwide forms through the Standard and Optional Forms Management Program. This subpart supplements § 201–45.104, Forms management.

§ 201–45.500–1 Objectives.

The objectives of the Standard and Optional Forms Management Program are to provide for:

(a) Simplified Governmentwide procedures;

(b) Cost-effective practices and procedures for creating, stocking, distributing, and using Standard and Optional forms;

(c) The creation of Standard and Optional forms based on a valid need and in compliance with applicable laws and regulations, including the Freedom of Information Act (5 U.S.C. 552),

the Privacy Act of 1974 (5 U.S.C. 552a), and Federal Information Processing Standards (40 U.S.C. 759) implemented by GSA (41 CFR 201-8.1);

(d) The reduction of unnecessary forms;

(e) Close coordination of the program with the other information resources management activities within an agency; and

(f) Improved office productivity through the application of appropriate design, construction, and reproduction standards and guidelines.

§ 201-45.501 Authority.

The Standard and Optional Forms Management Program was developed and operated by the Office of Management and Budget (OMB) consistent with the authorities prescribed by the Budget and Accounting Act of 1921. GSA assumed responsibility for the program on May 29, 1967, through agreement with OMB.

§ 201-45.502 Agency responsibilities.

Each agency shall:

(a) Establish and issue internal procedures for the clearance and use of Standard and Optional forms;

(b) Designate an agency-level Standard and Optional forms liaison representative and alternate, and notify GSA in writing of such designees' names, titles, mailing addresses, and telephone numbers (Changes in designations shall be submitted to GSA within 30 calendar days after a new designation is made. All communications concerning designees shall be addressed to the General Services Administration (KLSO), Washington, DC 20405.);

(c) Ensure that new and revised Standard and Optional forms developed increase systems efficiency and do not duplicate forms already available under the Standard and Optional Forms Management Program;

(d) Develop new and revised Standard and Optional forms in accordance with the provisions of this subpart; the agency's mission, responsibilities, and regulatory authority; applicable laws and regulations (see § 201-45.500-1(c)); and GSA forms analysis and design guidelines;

(e) Coordinate the development, revision, or cancellation of Standard and Optional forms with user agencies;

(f) Prepare a supporting statement for each Standard and Optional form developed, revised, or canceled and for each request for exception to an existing Standard or Optional form. The supporting statement shall include an assessment of the effect on the process which the form supports and the anticipated increase or decrease in the cost of that process;

(g) Obtain GSA approval for each new, revised, and canceled Standard and Optional form as prescribed in § 201-45.504;

(h) Reply to GSA written information requests in a timely manner and review printing proofs within 15 workdays;

(i) Review existing Standard and Optional forms which the agency has promulgated, sponsored, or received an exception to determine and implement possible forms improvement, consolidation, and cancellation, at least annually;

(j) Maintain records documenting all agency Standard and Optional forms actions;

(k) Submit such information as may be requested by GSA in order to manage the program;

(l) Compile and maintain developmental and operational costs using Standard Form 335, Summary Worksheet for Estimating Form Costs, for all Standard and Optional forms developed or revised by the agency and that are also used for collections of information from the public or State or local governments or are interagency report forms (see § 201-45.104-4(k));

(m) Assist GSA in developing (i.e., collecting information and designing and testing) new Standard and Optional forms;

(n) Make available for local reproduction those promulgated or sponsored Standard and Optional forms with an anticipated or actual annual use of 5,000 or fewer. (Full size illustrations of these forms must be included in the prescribing regulation or form announcement, or must otherwise be made available to users, and must be clearly annotated, "AU-

THORIZED FOR LOCAL REPRODUCTION".);

(o) Standardize exception requests at the highest organizational level possible, and

(p) Print and stock those exceptions approved for individual agency use. (See FPMR § 101–26.302.)

§ 201–45.503 GSA responsibilities.

GSA shall:

(a) promote the simplification of Governmentwide procedures and improve office productivity through the development of new and revised Standard and Optional forms;

(b) Analyze and approve or disapprove all requests for new or revised Standard and Optional forms and exceptions to the use of Standard and Optional forms;

(c) Maintain and distribute to all agencies a current list of approved Standard and Optional forms and agency liaison representatives;

(d) Coordinate with the Office of Management and Budget (OMB) on the approval of new and/or revised Standard and Optional forms that are within OMB's clearance jurisdiction;

(e) Promulgate or sponsor new Standard or Optional forms when a need is demonstrated and when it is in the best interest of the Government;

(f) Ensure that all proposed Standard and Optional forms are in conformance with applicable laws and regulations (see § 201–45.500–1(c));

(g) Issue information on current Standard and Optional forms clearance actions;

(h) Coordinate the printing of Standard and Optional forms with the U.S. Government Printing Office;

(i) Develop and issue updates to the Standard and Optional Forms Facsimile Handbook;

(j) Maintain records documenting activities of the Standard and Optional Forms Management Program;

(k) Conduct use-audits of Standard and Optional forms; and

(l) Collect information and issue reports on the Standard and Optional Forms Management Program.

§ 201–45.504 Approval, disapproval, and cancellation procedures.

§ 201–45.504–1 Approval and disapproval of Standard and Optional forms.

The promulgating or sponsoring agencies and GSA have specific responsibilities in the process for forms approval.

(a) Each promulgating or sponsoring agency shall:

(1) Request approval for new and revised Standard and Optional forms by submitting to the General Services Administration (KLSO), Washington, D.C. 20405 three copies of each of the following: (i) A Standard Form 152, Request for Clearance, Procurement, or Cancellation of Standard and Optional Forms, (ii) a supporting statement (see § 201–45.502(f)), (iii) the draft form, (iv) a list of the names, titles, and organizations of persons with whom the form was coordinated and a summary of any major problems on which agreement could not be reached, (v) a list of potential user agencies and their projected annual usage, and (vi) a draft announcement of the issuance of the form for inclusion in the appropriate directive or regulatory system and/or the FEDERAL REGISTER;

(2) Ensure that draft announcements include implementing instructions that address the following information: (i) Purpose, (ii) form title, (iii) form number, (iv) a sample or reduced facsimile of the form, if possible, (v) preparation instructions, (vi) obligation for use (i.e., mandatory or optional), (vii) frequency of use, (viii) number of copies required, (ix) guidance on use and disposition of present stocks, and (x) supply source;

(3) Ensure that the following appear on all approved new and revised Standard and Optional forms: (i) the Standard or Optional form number assigned by GSA, (ii) the edition date, (iii) the name of the promulgating or sponsoring agency, (iv) a citation of the agency regulation that requires mandatory use of the form (for Standard forms only), (v) the OMB approval number and expiration date as applicable (see § 201–45.507), and (vi) the interagency report control number, as

appropriate (Normally the form number and edition date will be located on the first page of the form in the lower right corner; and the OMB number must appear in the upper right corner of the form.);

(4) Announce the issuance of approved new or revised Standard or Optional forms by publishing a change in the appropriate directive or regulatory system and/or a notice in the FEDERAL REGISTER.

(5) Include in the announcement: (i) implementing instructions, (ii) approximate availability date, if known, (iii) the interagency report control number, if the form is used as an interagency report, and (iv) the OMB approval number, if the form is used to collect information from the public or State or local governments;

(6) Submit a copy of the change to the directive and/or the FEDERAL REGISTER notice to the General Services Administration (KLSO), Washington, DC 20405; and

(7) Announce that new or revised forms with an anticipated or actual annual use of 5,000 or less are available for local reproduction by user agencies (see § 201-45.502(n));

(b) GSA shall:

(1) Analyze agency requests to approve new and revised forms to: (i) Verify that the form fulfills a need, (ii) ensure that approval will not result in duplicate forms, (iii) assess the impact on users, and (iv) ensure that the form follows GSA forms design and cost-effectiveness standards and guidelines;

(2) For approved requests: (i) assign an edition date and, if required, a form number, (ii) notify the requesting agency of the decision on the returned Standard Form 152, and (iii) enter the approved form in the Standard and Optional Forms Inventory (Edition dates, once assigned by GSA, shall not be changed by an agency.); and

(3) For requests that are disapproved, notify the requesting agency of the decision on the returned Standard Form 152.

§ 201-45.501-2 Cancellation of Standard and Optional forms.

The promulgating or sponsoring agencies and GSA have specific responsibilities in the process for forms cancellation.

(a) When a promulgating or sponsoring agency believes a Standard or Optional form is no longer needed, the agency shall:

(1) Request cancellation of the form by submitting to GSA a Standard Form 152, a supporting statement (see § 201-45.502(f)), and a draft of the proposed cancellation notice; and

(2) Notify the using agencies of the cancellation, when approved by GSA, by publishing a cancellation notice in the appropriate directive or regulatory system and/or in the FEDERAL REGISTER. A copy of each notice must be submitted to the General Services Administration (KLSO), Washington, DC 20405.

(b) When a promulgating or sponsoring agency submits a request for cancellation to GSA, GSA shall:

(1) Analyze the request to: (i) Verify that the form is no longer necessary, (ii) ensure that cancellation will not result in the proliferation of replacement forms, (iii) assess the impact on users, and (iv) ensure that disposition of existing stock is cost-effective; and

(2) Approve or disapprove the request and notify the promulgating or sponsoring agency of the decision on the returned Standard Form 152.

§ 201-45.505 Interagency Committee on Medical Records (ICMR) responsibilities.

The Interagency Committee on Medical Records (ICMR) is responsible for reviewing all health care related Standard forms to ensure quality, uniformity, and adequacy of health care records of the Federal government. The ICMR is responsible for developing new and revised medical Standard forms and requesting cancellation of and exceptions to existing medical Standard forms. GSA is responsible for promulgating and approving medical Standard forms.

§ 201-45.505-1 Clearance of medical Standard forms.

The ICMR chairperson shall initiate, sign, and submit requests for the approval of medical Standard forms to: General Services Administration

(ATRAR), Washington, DC 20405. ATRAR will forward the request to GSA/OIRM for processing in accordance with § 201–45.504–1.

§ 201–45.506 Standard and Optional forms coordination with interagency reporting approved by GSA.

As provided in Subpart 201–45.6, GSA is responsible for approving interagency reporting requirements. When an agency develops or revises a Standard or Optional form in conjunction with an interagency reporting requirement, the agency shall submit to GSA a Standard Form 360, Request for Clearance of an Interagency Reporting Requirement, in addition to other clearance requirements prescribed by this subpart.

§ 201–45.507 Standard and Optional forms used for collections of information from the public or State or local governments.

(a) Under 5 CFR Part 1320, Standard and Optional forms that also require approval by OMB (44 U.S.C. 3501–3513) because they are to be used to collect information from the public or State or local governments, or are the basis of general purpose statistics, shall be submitted by the promulgating or sponsoring agency to OMB through GSA. Agencies shall submit a Standard Form 83, Request for OMB Review and necessary attachments, in addition to other clearance requirements prescribed by this subpart when developing, revising, canceling or requesting exception to a Standard or Optional form requiring OMB clearance.

(b) Requests for extension of OMB clearance of Standard and Optional forms will be initiated by the promulgating or sponsoring agency and will be sent to OMB through GSA using Standard Form 83, in addition to the Standard Form 152 and accompanying documentation. If the request results in no changes to the affected form, Standard Form 152 and the accompanying documentation may be omitted.

§ 201–45.508 Reporting requirements.

Sixty workdays before the close of each fiscal year, agencies shall submit a summary of the Standard and Optional forms used for collections of information covered by 5 CFR Part 1320 to the General Services Administration (KLSO), Washington, DC 20405. Instructions for preparing the report are on GSA Form 3515, Annual Report of Standard and Optional Forms Used for Collections of Information Covered by 5 CFR Part 1320. Include in the report the actual number of forms used plus the estimated number for the remainder of the current fiscal year. This report is assigned Interagency Report Control Number 0309–GSA–AN. Separate reports shall be submitted for each department or comparable independent organizational unit.

§ 201–45.509 Overprinting of Standard and Optional forms.

Overprinting of Standard and Optional forms is at each agency's discretion but should be limited to quantities that are cost-effective. Overprinting of forms is ordered through the General Services Administration (WFSI), Washington, DC 20407.

§ 201–45.510 Exceptions to Standard and Optional forms.

§ 201–45.510–1 Policy.

(a) Exceptions to Standard and Optional forms shall be requested only when an agency can demonstrate that the difference in the content, format, and/or printing specifications of the form is cost-effective.

(b) Reproduction and stocking of approved exceptions is the responsibility of the requesting agency (see FPMR § 101–26.302).

(c) Content and format exceptions become void when the affected Standard or Optional form is revised or canceled by the promulgating agency, or when the exception is altered.

(d) Printing exceptions become void when the affected Standard or Optional form is canceled, when a usable construction that meets user needs is stocked by GSA's Office of Federal Supply and Services, or when the form is revised unless the agency certifies in writing that there is a continued need for the printing exception. This certification of continued need must be received by GSA (KLSO) within 60

workdays of the revision of the Standard or Optional form. GSA will notify agencies with printing exceptions of the need for certification.

§ 201–45.510–2 Clearance procedures for exceptions.

(a) Agencies shall submit exception requests to GSA, including three copies of the proposed form, Standard Form 152, the supporting statement, and if appropriate, the printing requisition. The supporting statement shall explain the reasons for the request including conclusive evidence that the Standard or Optional form can not be used as prescribed in the existing format or construction or is not economical; the proposed alteration(s) or change(s); the resultant cost benefits; and shall include an estimate of the number of forms expected to be used in one year.

(b) Exceptions shall be reviewed by GSA to limit unnecessary variations of the form, assess the need for additional standardized constructions, and economy of application; and shall be sent to the promulgating agency for a signed recommendation of approval or disapproval. When the clearance action is returned, GSA will analyze both the exception request and the promulgator's recommendation. GSA will notify the requesting agency of its decision to approve, modify, or disapprove the request.

(c) Approved exceptions must bear the following on the first page, below or near the form number element: (1) "Department (abbreviation)—Major component (abbreviation) Exception to (form number) approved by GSA/OIRM (Month and Year)", and (2) when appropriate, citation of the internal directive.

(d) When an exception is approved, GSA (KLSO) will forward a copy of the approval and the printing requisition, if included in the request package, to GSA (WFSI), for processing. The approved exception notifies WFSI to deduct the order quantity from their standard form stock level because the agency will no longer use the form as stocked.

§ 201–45.510–3 Review of exceptions.

(a) GSA shall periodically review and analyze exceptions to specific forms and recommend form content, format, and printing changes to the promulgating agency.

(b) The promulgating agency shall implement the recommended changes through revision of the Standard or Optional form or provide GSA with acceptable reason(s) for non-implementation, within 60 workdays.

§ 201–45.511 Program review.

Periodically GSA shall review agency implementation of the Standard and Optional Forms Management Program in order to assess the effectiveness of the program and the agency's conformity to this Subpart 201–45.5.

§ 201–45.512 Employee suggestions.

In accordance with Federal Personnel Manual Chapter 451, employee suggestions that propose changes in the format, content, construction, or use of a Standard or Optional form shall be sent from the suggester (through the suggestion program) to the promulgating or sponsoring agency for evaluation. New and revised Standard and Optional forms created as a result of employee suggestions shall be processed in accordance with procedures provided in § 201–45.504–1 of this subpart.

§ 201–45.513 Obtaining forms.

Supplies of Standard Form 152 may be obtained by submitting a requisition in FEDSTRIP/MILSTRIP format to the GSA regional office that provides support for the requesting activity.

§ 201–45.514 Procurement of stocks of Standard and Optional forms.

General procedures for procuring stocks of Standard and Optional forms are in FPMR § 101–26.302, Standard and Optional forms.

Subpart 201-45.6—Interagency Reports Management Program

§ 201-45.600 Scope of subpart.

This subpart states procedures for agencies of follow in seeking approval of interagency reports.

§ 201-45.601 Authority.

The provisions of this subpart implement 44 U.S.C. Chapters 29 and 31, recognizing OMB functions under 44 U.S.C. 3504(e) and OMB implementation under 5 CFR 1320.16.

§ 201-45.602 Objectives.

The purpose of this program is to ensure that interagency reports are based on need, are cost-effective, and comply with laws and regulations; e.g., Freedom of Information Act (5 U.S.C. 552); the Privacy Act of 1974 (5 U.S.C. 552a); and Federal Information Processing Standards (40 U.S.C. 759(f) implemented by GSA (Part 201-8).

§ 201-45.603 Agency responsibilities.

Each agency shall:

(a) Issue internal procedures for submitting, reviewing, and approving or disapproving interagency reports;

(b) Appoint officials to serve as interagency report coordinator and alternate;

(c) Submit the names, titles, locations, and telephone numbers of the interagency reports coordinator and alternate to the General Services Administration (KLSO), Washington, DC 20405. (Any change in the person appointed must be sent to GSA within 30 calendar days);

(d) Develop new and revised interagency reporting requirements under this subpart;

(e) Obtain GSA approval for each new, revised, or extended interagency reporting as soon as possible;

(f) Review the GSA Inventory of Approved Interagency Reports to decide if a proposed report can be met by an existing report;

(g) Review existing interagency reports for possible improvements when submitting requests to extend clearances;

(h) Provide responding agencies the opportunity to comment on each proposed new or revised interagency reporting requirement;

(i) Obtain GSA approval to collect test information from other Federal agencies to do a pilot test of the system if the estimated cost for a new or substantially revised report exceeds $500,000;

(j) Reply within 30 calendar days to other agencies' written requests for estimates of the cost of responding to existing or proposed interagency reports;

(k) Repond to approved interagency reports as specified in instructions; and

(l) Refrain from responding to interagency reporting requirements not approved by GSA and inform GSA of the requirements.

§ 201-45.604 Establishing or revising interagency reporting requirements.

(a) The requiring agency shall consult with GSA (KLSO) on proposed new or revised interagency reporting requirements before submitting Standard Form 360, Request for Clearance of an Interagency Reporting Requirement. Following the discussion with GSA, the agency shall justify the need for the report and estimate the reporting costs, under §§ 201-45.606 and 201-45.607. The agency shall then send to GSA (KLSO) an original and one copy of Standard Form 360 with supporting documents through the agency's interagency reports coordinator. Upon receipt of the Standard Form 360, GSA will review the proposal for demonstrated need, cost effectiveness, systems design, and coordination with other clearance authorities, and will ensure that the report does not duplicate existing interagency reports.

(b) If GSA approves the report, it will assign an interagency report control number and an expiration date, return the Standard Form 360 to the agency's interagency reports coordinator, and enter the report in the GSA Inventory of Approved Interagency Reports.

(c) The requiring agency shall notify responding agencies of approved reports by directive or by correspondence. The directive publishing the requirement shall include the following

information: (1) Purpose; (2) report title; (3) whether it is mandatory or voluntary; (4) interagency report control number; (5) report format; (6) preparation instructions; (7) responding agencies; (8) frequency of use; (9) number of copies; (10) mailing address; (11) due date; (12) name and telephone number of contact person; and (13) for mandatory reports, whether it requires a negative response.

(d) If a form is needed to collect data, the agency shall place the interagency report control number in the upper right corner of the form.

(e) When GSA rejects an agency's request for a report, GSA will advise the agency, in writing of the reasons for the rejection.

§ 201-45.605 Extending interagency reporting requirements.

GSA will notify the promulgating agencies 90 calendar days in advance of the expiration date of a requirement. Agencies shall submit requests for extensions for new and revised reports at least 60 calendar days before the expiration date. (See § 201-45.604.)

§ 201-45.606 Justifying interagency reporting requirements.

A justification statement, signed by the official who requested the reporting requirement, shall be attached to Standard Form 360. The justification shall:

(a) State why the report is needed and how it will be used;

(b) Describe the benefits (in dollar value if possible) expected from the information and assess the probability that the benefits will be achieved;

(c) Describe how the program will be affected if the information is not obtained;

(d) Identify any responding agencies that took part in designing, testing, and estimating the cost of the proposed report;

(e) Identify the agencies that agree or do not agree with the proposed report and summarize the reasons why;

(f) Explain how the reporting costs shown on the Standard Form 360 were derived (see § 201-45.607); and

(g) Describe other reporting plans considered, including: (1) Frequency of reporting, (2) use of exception reporting, (3) use of sampling techniques, (4) selection of respondents, (5) obligation of respondents to comply, (6) amount of detail, (7) format of report, and (8) method of transmission.

§ 201-45.607 Cost estimates.

GSA needs cost estimates to decide if the expected value of the information is worth the cost of obtaining it. Agencies shall use the following cost alternative(s) to identify the method(s) used to prepare the reporting cost estimate. Criteria for these costing alternatives are contained in the GSA information resources management handbook, Reports Management (see Appendix C of the looseleaf edition of the FIRMR). Supporting documentation and worksheets for all cost estimates must be available for GSA review. GSA review may include the appropriateness of the agency costing alternative selection.

Alternatives	Characteristics
Pilot testing (estimate based on actual costs collected)	High cost reporting; full scale mechanized systems; data banks; large number of data elements; new data collection system; respondent cost may be needed for budget purposes.
Factoring (estimate based on actual costs previously collected for a comparable report)	Medium to low cost reporting; revision of a previously costed report; high degree of experience with comparable reports made by the same (one or a limited number) responding agencies; cost easy to compare with actual cost for a similar report.
Sampling (estimate based on a representative selection of responding agencies)	Low to high cost reporting; large number of respondents; new reports.
Technical estimates (estimate based on experience)	Low cost reporting; more detailed costing waived by GSA; one-time reports; limited number of respondents.

§ 201-45.608 Discontinuing interagency reporting requirements.

If an interagency report is no longer needed, the agency shall notify GSA and responding agencies by directive or correspondence. GSA will discontinue the requirement on the expiration date unless it receives a request for an extension under § 201-45.605.

§ 201-45.609 Special provisions.

§ 201-45.609-1 Exemptions.

(a) The following interagency reports requirements are exempted from Subpart 201-45.6: (1) Legislative branch reports, (2) Office of Management and Budget (OMB) and other Executive Office of the President reports, and (3) judicial branch reports required by court order or decree. However, interagency reports required by Federal agencies to respond to exempted requirements are subject to clearance under this subpart.

(b) Questions concerning the applicability of these exemptions shall be directed to the General Services Administration (KLSO), Washington, DC 20405.

§ 201-45.609-2 Deviations.

An agency seeking a deviation from the requirements to justify and prepare a cost-estimate of a report under §§ 201-45.606 and 201-45.607 shall send a written explanation of the need for the report and the deviation to the General Services Administration (KMPP), Washington, DC 20405 in accordance with Subpart 201-1.4. Deviation requests must include a summary cost estimate in item 9 of Standard Form 360.

§ 201-45.609-3 Classified reporting requirements.

Interagency reporting requirements for security classified information are exempt from this subpart. However, interagency reporting requirements for non-security classified information are not exempt from this subpart, even if such information is later given a security classification by the requesting agency.

§ 201-45.610 Coordination with other clearance authorities.

§ 201-45.610-1 Interagency/public reporting requirements.

Interagency reporting requirements that collect information from the public or from State or local governments as well as from Federal agencies require approval by OMB under 5 CFR Part 1320. Agencies shall submit these interagency reporting requirements to OMB and GSA at the same time for clearance.

§ 201-45.610-2 Interagency reporting coordination with Standard and Optional forms approved by GSA.

As stated in Subpart 201-45.5, GSA is responsible for approving Standard and Optional forms. Therefore, when an agency plans to use a new or revised Standard or Optional form for a proposed interagency report, the agency shall also submit Standard form 152, Request for Clearance, Procurement, For Cancellation of Standard and Optional Forms.

§ 201-45.611 Obtaining forms.

The forms required by this subpart may be obtained by submitting a FEDSTRIP/MILSTRIP requisition to the GSA regional office that provides support for the requesting office.

Subpart 201-45.7—[Reserved]

Subpart 201-45.8—Technical Assistance

§ 201-45.800 Scope of subpart.

This subpart contains information and procedures pertaining to the furnishing of technical assistance services to Federal agencies by the General Services Administration (GSA).

§ 201-45.801 Services available.

The following services are available to Federal agencies from GSA:

(a) Technical advice and assistance on agency records management programs and activities as described in this Part 201-45; and

(b) Information management and other systems studies.

§ 201-45.802 Technical advice and assistance on records management programs.

GSA provides technical advice and guidance to Federal agencies in the conduct of their records management activities. This includes assistance in the development of records management programs concerned with the creation, maintenance, and use of agency records. Advice and guidance will be consistent with NARA regulations concerning records disposition and adequacy of documentation (36 CFR Ch. XII).

§ 201-45.803 Technical assistance involving studies and surveys.

(a) Upon request, GSA will conduct studies and surveys for Federal agencies involving any one or a combination of the records management areas described in this Part 201-45. These studies and surveys are normally on a reimbursable basis.

(b) An information management study is a systematic and detailed cost/benefit analysis which identifies and defines systems requirements and automation requirements for effective, efficient, and economical management and operation, and the alternative methods to satisfy these requirements; and recommends the optimum implementation methods and procedures for management approval. The study covers all management and operating processes, whether or not ADP equipment is involved.

§ 201-45.804 Request for service.

(a) Agencies desiring any of the reimbursable services from GSA provided for in this Subpart 201-45.8 should contact the General Services Administration (KFM), Washington, DC 20405.

(b) Technical advice and assistance may also be obtained by contacting the General Services Administration (KL), Washington, DC 20405.

PARTS 201-46—201-49 [RESERVED]

Appendix A—Temporary Regulations

[FIRMR Temporary Regulation 10]

January 22, 1985

To: Heads of Federal agencies

Subject: Information Resources Management Reviews

1. *Purpose.*

a. This regulation establishes the Federal Information Resources Management (IRM) Review Program. It describes policies and procedures that Federal agencies and the General Services Administration (GSA) will follow in carrying out the review responsibilities of the Paperwork Reduction Act. This directive also establishes GSA as the focal agency for collecting, assessing, and reporting on IRM review results to the Office of Management and Budget (OMB). The intent of this regulation is to provide agencies the flexibility to implement a review program that is commensurate with the scope and complexity of the agency program objectives and missions.

b. A notice of proposed rulemaking was published in the Federal Register on August 27, 1984 (49 FR 33906) and the comments received have been considered in the promulgation of this rule. Any additional comments are welcome and must be submitted by June 24, 1985. It is intended to codify the policies and procedures added by this regulation in a new Part 201-19 to the FIRMR.

2. *Effective date.* March 26, 1985.

3. *Expiration date.* This regulation expires on December 31, 1986.

4. *Background.* The Paperwork Reduction Act requires that Federal agencies and GSA establish IRM review capabilities. Specifically, agencies are required by the Act to carry out their information management activities in an efficient, effective, and economical manner. The Act also requires each agency to designate a senior official to carry out the responsibilities of the agency under the Act. These responsibilities include systematically conducting inventories of major information systems; periodically reviewing major information management activities; ensuring that information systems do not overlap; developing procedures for assessing the paperwork and reporting burden of proposed legislation; and assigning the senior official responsibility and accountability for IRM acquisitions. In addition, the act requires GSA to advise and assist the OMB to "selectively review, at least once every three years, the information management activities of each agency to ascertain their adequacy and efficiency." It also requires "particular attention to whether the agency has complied with section 3506." GSA has additional review and oversight responsibilities under the Federal Property and Administrative Services Act and the Federal Records Act. In a letter dated June 13, 1983, the OMB assigned GSA responsibility for IRM reviews.

5. *Applicability.* This regulation applies to organizations covered by the Paperwork Reduction Act. It includes any executive department, military department, Government corporation, Government controlled corporation, or other establishment in the executive branch of the Government (including the Executive Office of the President), or any independent regulatory agency. It does not apply to the General Accounting Office, Federal Election Commission, the governments of the District of Columbia and of the territories and possessions of the United States, and their various subdivisions, or Government-owned, contractor-operated facilities including laboratories engaged in national defense research and production activities.

6. *Review Objectives.*

a. The primary purpose of IRM reviews is to improve the Government-wide management of information resources so that all Federal agencies can accomplish their missions more efficiently and effectively. The IRM activities of each agency shall be selectively reviewed at least once during a triennial review cycle. This requirement will be satisfied predominantly by agency-conducted reviews.

b. IRM reviews have four principal objectives:

(1) To determine if each agency is carrying out its information management activities in an efficient, effective, and economical manner in support of program missions and objectives;

(2) To determine how well each agency is complying with established IRM policies, procedures, principles, standards, and guidelines; and

(3) To determine whether each agency is complying with Federal agency responsibilities of 44 U.S.C 3506;

(4) To establish through GSA-conducted reviews, the proper level of acquisition authority for ADP resources to be delegated to each agency by GSA.

7. *Scope of IRM Reviews.*

a. IRM reviews may encompass any or all activities of planning, budgeting, organizing, directing, training, and control associated with the creation, collection, processing, transmission, dissemination, use, storage, and disposition of information by agencies. IRM encompasses both information itself

and the resources, such as personnel, equipment, funds, and technology used to create, collect, process, transmit, disseminate, use, store, and dispose of information. This includes ADP, telecommunications, office automation, records management, and their associated activities.

b. As stated in the Paperwork Reduction Act and for the purposes of this regulation, the terms "automatic data processing," "automatic data processing equipment," and "telecommunications" do not include any data processing or telecommunications system or equipment, the function, operation, or use of which:

(1) Involves intelligence activities;

(2) Involves cryptologic activities related to national security;

(3) Involves the direct command and control of military forces;

(4) Involves equipment which is an integral part of a weapon or weapons system; or

(5) Is critical to the direct fulfillment of military or intelligence missions, provided that this exclusion shall not include automatic data processing or telecommunications equipment used for routine administrative and business applications such as payroll, finance, logistics, and personnel management.

8. *Relationship to Other Review Requirements.* In meeting the requirements of this regulation, agencies are encouraged to take advantage of all ongoing review activity in the IRM area. Examples include reviews preparing for or resulting from the OMB spring planning and management reviews and/or fall budget reviews; vulnerability assessments and internal control reviews (OMB Circular A-123); financial management systems reviews (OMB Circular A-127); performance of commercial activity reviews (OMB Circular A-76); information collection reviews; records management assessments; internal audits; etc.

9. *Government-Wide Application.* (See Attachment F to this bulletin which illustrates the Federal IRM Review Structure.)

a. *Agency responsibilities.* The agency head, in coordination with the senior official designated by the requirements of the Paperwork Reduction Act, shall delegate IRM review authorities and responsibilities within the agency consistent with the Paperwork Reduction Act and this regulation. Specifically the agency head shall ensure that the agency's review organization:

(1) Has authority to review programs, functions, and activities within the objectives and scope of IRM cited in par. 6 and par. 7 above;

(2) Is responsive to established Government-wide and agency priorities; and

(3) Is responsible for meeting the reporting requirements established in par. 10 below.

b. *GSA responsibilities.* GSA has responsibility to conduct IRM reviews at agencies and to consolidate the results of GSA- and agency-conducted reviews in an annual report to OMB. To meet these responsibilities, GSA is hereby establishing a triennial review and reporting process. To assist agencies in meeting the requirements of the Paperwork Reduction Act and this regulation, GSA will issue and maintain an advisory IRM review handbook and advise and assist agencies with the IRM review process.

c. *OMB responsibilities.* OMB is required to report major activities being accomplished under Paperwork Reduction Act guidelines, including review activity, to Congress and will conduct such independent reviews as it deems appropriate.

10. *Triennial Process.* Agency review programs will operate on a three-year cycle. This paragraph describes the process for each year.

a. Year One.

(1) GSA will issue a "call for plans" by September 1 preceding the first year of the cycle. The call will establish Government-wide review priorities for that three-year cycle.

(2) Agencies shall develop a three-year review plan which:

(i) Includes Government-wide priorities for review;

(ii) Establishes and includes agency priorities for review;

(iii) Provides specific objectives for the three-year review cycle; and

(iv) Details planned reviews for the upcoming and subsequent two years.

(3) The plan shall, at a minimum, include the items listed in Attachment A, and describe how execution of the plan will determine whether the agency is complying with Federal agency responsibilities of 44 U.S.C. 3506.

(4) The agency shall submit the agency plan to GSA by November 1 of the first year of the cycle.

(5) GSA will assess the plan for comprehensiveness, clarity, and responsiveness to Government-wide priorities. Agencies will be contacted for clarification and additional information if necessary.

(6) Agencies shall conduct reviews in accordance with the plan. As each review is completed, a review synopsis will be developed. These synopses shall include, as a minimum, the items listed in Attachment D.

b. Year Two.

(1) GSA will issue a call for the second year's plan by September 1.

(2) Agencies shall update the plan submitted in the previous year. The plan shall, at a minimum, include the items listed in Attachment B.

(3) Agencies shall attach to the plan synopses of the first year's reviews. (See par.

10a(6) above.) If reviews were conducted which were not on the plan, they should be summarized. Reviews which were on the plan but not conducted, should be noted as rescheduled or cancelled and include a short explanation.

(4) The agency shall submit the updated plan and synopses of the first year's reviews to GSA by November 1.

(5) Agencies shall complete the scheduled second year's reviews and develop synopses. (See par. 10a(6) above.)

c. Year Three.

(1) GSA will issue the call by September 1 and agencies will submit the final updated plan for the third year (see Attachment C) and review synopses for the second year.

(2) Agencies shall complete the scheduled third year's reviews and develop synopses.

(3) Agencies shall develop a report which consolidates the three-year effort, evaluates how well the reviews met overall objectives, evaluates the benefits of the three-year review effort to the agency, demonstrates how the agency is complying with Federal agency responsibilities of 44 U.S.C. 3506 (the Paperwork Reduction Act), and identifies potential review opportunities for the next three-year cycle.

(4) GSA will review progress with the agency in preparation for report consolidation and submission to OMB. Such reviews may be limited to an assessment of the review program or may be a broader review effort.

(5) The agency shall submit the consolidated report and third-year review synopses to GSA by November 1, together with the plan for the new cycle. (See par. 10a. above.)

d. Triennial Reporting.

(1) In the two years preceding the first triennial report, GSA will report to OMB on the status of implementation of the Federal IRM Review Program.

(2) For all agencies completing the three-year cycle, GSA will prepare an executive summary of trends and significant actions, highlight successes, identify problem areas, and provide profiles of review activity by agency and Government-wide. The consolidated report will be provided to OMB by March 1, following completion of the three-year cycle. OMB will report the results of the reviews to appropriate agency heads and Committees of the Congress.

(3) Agencies are required by 44 U.S.C. 3513(c) (the Paperwork Reduction Act) to prepare and submit to OMB and appropriate Congressional Committees, within sixty days, a written statement which responds to the results of the reviews and includes actions taken to alleviate cited problems or deficiencies.

11. *GSA Review Process.*

a. GSA will periodically conduct separate reviews of agencies' IRM activities to complement and supplement agency efforts. Prior to initiation of a GSA-conducted IRM review, the designated senior official will be informed of its scope and the manner in which it will be conducted. These reviews will initially take place during the fiscal year following agency start-up.

b. The reviews will be conducted in an atmosphere which will allow for a free and open exchange of information. Potential problems and recommended solutions will be discussed during the course of the review so that agencies may initiate corrective action prior to formal reporting.

c. Results of these reviews will be provided by GSA to the agency in draft form. Agencies shall have thirty days to respond to the report before it is finalized.

d. Comments will be reviewed and discussed with the agency with appropriate revisions being made prior to issuance of a final report.

e. Final reports will be provided to the agency and will also be included in the consolidated report to OMB.

12. *IRM Review Program Initiation.*

a. The IRM review program will be initiated for FY 1986. Agency plans shall be submitted within 60 days after the call goes out. The first submission of review synopses will be on or before November 1, 1986.

b. Agencies will be phased into the review process. (See Attachment E.) The first triennial review cycle ends with reports due November 1, 1988. Therefore, the first triennial report will be submitted in FY 1989. Until the cycle is in full operation in FY 1988, GSA will submit annual consolidated reports to OMB.

c. The reports called for in this temporary regulation have been cleared in accordance with FPMR 101-11.11[1] and are assigned Interagency Report Control Number 0326-GSA-XX.

13. *Agency actions.* Pending the issuance of an amendment of the Federal Information Resources Management Regulation, agencies shall follow the policies and procedures in this temporary regulation.

14. *Information and assistance.*

a. This review program is administered by the Procurement Management and Review Branch (KMAP) in GSA's Office of Information Resources Management. Advice and assistance are available as resources permit. The branch can be contacted by writing or calling: General Services Administration, KMAP, Washington, DC 20405, Telephone—(202) 566-1332 or FTS 566-1332.

b. Inquiries concerning this regulation should be directed to Phillip R. Patton, Policy Branch (KMPP), Office of Informa-

[1] EDITORIAL NOTE: 41 CFR Part 101-11 was recodified and reissued in Parts 201-22 and 201-45 at 50 FR 26908, June 28, 1985.

tion Resources Management, Telephone (202) 566-0194 or FTS, 566-0194.

15. *Submission of comments.* The views of agencies and other interested parties are invited regarding the effect or impact of this regulation and the policy and procedures that should be adopted in the future. All comments received by June 24, 1985, will be considered. Comments should be addressed to GSA (KMPP), Washington, DC 20405.

RAY KLINE,
Acting Administrator of General Services.

ATTACHMENT A

Agency IRM Review Plan Format

Three Year Cycle: FY 8x-8x

Year 1

Agency:
Priority review areas: (as identified in GSA call or by agencies)
Triennial objectives:
Year 1 reviews: (For each review, submit the data stipulated below.)
Title of Review:
Agency Review Number:
Scope of Review:
Brief Description:
Review Milestones and Schedules:
Agency Contact and Telephone Number:
Year 2 and 3 reviews:
Title of Review:
Agency Review Number:
Scope of Review:
Brief Description:

NOTE: Agencies may add additional data elements to these formats (Attachments A thru D) as deemed necessary.

[This format shall only be used as a guide and will not be printed, reproduced or stocked.]

ATTACHMENT B

Agency IRM Review Plan Format

Three Year Cycle: FY 8x-8x

Year 2

Agency:
Priority review areas: (If different from Year 1)
Triennial objectives: (If different from Year 1)
Year 2 reviews:
Title of Review:
Listed on Year 1 Plan: ___Yes ___No
Agency Review Number:
Scope of Review:
Brief Description:
Review Milestones and Schedules:
Agency Contact and Telephone Number:
Year 3 reviews:
Title of Review:
Listed on Year 1 Plan: ___Yes ___No
Agency Review Number:
Scope of Review:
Brief Description:

[This format shall only be used as a guide and will not be printed, reproduced or stocked.]

ATTACHMENT C

Agency IRM Review Plan Format

Three Year Cycle: FY 8x-8x

Year 3

Agency:
Priority review areas: (If different from Year 2)
Triennial objectives: (If different from Year 2)
Year 3 reviews:
Title of Review:
Listed on Year 1 Plan: ___Yes ___No
Listed on Year 2 Plan: ___Yes ___No
Agency Review Number:
Scope of Review:
Brief Description:
Review Milestones and Schedules:
Agency Contact and Telephone Number:

[This format shall only be used as a guide and will not be printed, reproduced or stocked.]

ATTACHMENT D

Agency Review Synopsis

Three Year Cycle: FY 8x-8x

Year 1, 2, and 3

Agency:
Title of Review:
Agency Review Number:
Objectives of Review:
Synopsis of Review:
Primary Findings:
Initiatives and Actions:
Agency Contact and Telephone Number:

[This format shall only be used as a guide and will not be printed, reproduced or stocked.]

ATTACHMENT E

Agency Start-Up List

Triennial Reports to Congress

First year agencies are those information-intensive agencies (identified by OMB in initial review efforts) with the longest established review programs. Second and third year agencies are information-intensive agencies not included in the first year. Agencies have been listed if they are large enough to have an established IRM organi-

zation. All other agencies are also included in the third year.

Beginning in FY 86, and every 3rd year thereafter:

Year 1 Agencies

Agriculture
Commerce
Education
Energy
General Services Administration
Health and Human Services
Interior
Justice
Labor
Transportation
Veterans Administration

Beginning in FY 87, and every 3rd year thereafter:

Year 2 Agencies

Consumer Product Safety Commission
Environmental Protection Agency
Federal Energy Regulatory Commission
Federal Trade Commission
Housing and Urban Development
Interstate Commerce Commission
National Aeronautics & Space Administration
National Science Foundation
Office of Personnel Management
State
Treasury

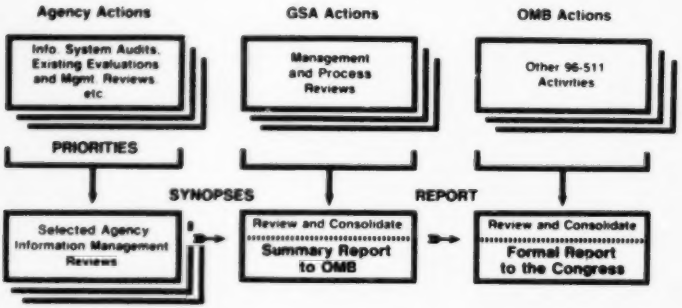
Beginning in FY 88, and every 3rd year thereafter:

Year 3 Agencies

ACTION
Commodity Futures Trading Commission
Defense
Air Force
Army
Navy
Federal Communications Commission
Federal Emergency Management Agency
Federal Reserve System
Nuclear Regulatory Commission
Securities and Exchange Commission
Selective Service System
All Other Agencies

Federal IRM Review Responsibilities and Structure

FIRMR Temp. Reg. 10
Attachment F



[FIRMR Temp. Reg. 10, 50 FR 11861, Mar. 26, 1985; 50 FR 13023, Apr. 2, 1985]

EDITORIAL NOTE: Appendices B through G do not appear in the Code of Federal Regulations.

FINDING AIDS

A list of CFR titles, subtitles, chapters, subchapters and parts and an alphabetical list of agencies publishing in the CFR are included in the CFR Index and Finding Aids volume to the Code of Federal Regulations which is published separately and revised annually.

Table of CFR Titles and Chapters
Alphabetical List of Agencies Appearing in the CFR
Derivation and Distribution Tables
List of CFR Sections Affected

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Table of CFR Titles and Chapters

(As of June 13, 1986)

Title 1—General Provisions

Chap.

I Administrative Committee of the Federal Register (Parts 1-49)

II Office of the Federal Register (Parts 50-299)

III Administrative Conference of the United States (Parts 300-399)

IV Miscellaneous Agencies (Parts 400-499)

Title 2—[Reserved]

Title 3—The President

Proclamations

Executive Orders

Other Presidential Documents

I Executive Office of the President (Parts 100-199)

Title 4—Accounts

I General Accounting Office (Parts 1-99)

II Federal Claims Collection Standards (General Accounting Office—Department of Justice) (Parts 100-299)

III General Accounting Office (CASB) (Parts 300-499)

Title 5—Administrative Personnel

I Office of Personnel Management (Parts 1-1199)

II Merit Systems Protection Board (Parts 1200-1299)

III Office of Management and Budget (Parts 1300-1399)

IV Advisory Committee on Federal Pay (Parts 1400-1499)

V The International Organizations Employees Loyalty Board (Parts 1500-1599)

VII Advisory Commission on Intergovernmental Relations (Parts 1700-1799)

IX Appalachian Regional Commission (Parts 1900-1999)

XI United States Soldiers' and Airmen's Home (Parts 2100-2199)

XIV Federal Labor Relations Authority, General Counsel of the Federal Labor Relations Authority and Federal Service Impasses Panel (Parts 2400-2499)

Title 5—Administrative Personnel—Continued

Chap.

XV Office of Administration, Executive Office of the President (Parts 2500—2599)

Title 6—[Reserved]

Title 7—Agriculture

SUBTITLE A—Office of the Secretary of Agriculture (Parts 0-26)

SUBTITLE B—Regulations of the Department of Agriculture

I Agricultural Marketing Service (Standards, Inspections, Marketing Practices), Department of Agriculture (Parts 27-209)

II Food and Nutrition Service, Department of Agriculture (Parts 210-299)

III Animal and Plant Health Inspection Service, Department of Agriculture (Parts 300-399)

IV Federal Crop Insurance Corporation, Department of Agriculture (Parts 400-499)

V Agricultural Research Service, Department of Agriculture (Parts 500-599)

VI Soil Conservation Service, Department of Agriculture (Parts 600-699)

VII Agricultural Stabilization and Conservation Service (Agricultural Adjustment), Department of Agriculture (Parts 700-799)

VIII Federal Grain Inspection Service, Department of Agriculture (Parts 800-899)

IX Agricultural Marketing Service (Marketing Agreements and Orders; Fruits, Vegetables, Nuts), Department of Agriculture (Parts 900-999)

X Agricultural Marketing Service (Marketing Agreements and Orders; Milk), Department of Agriculture (Parts 1000-1199)

XI Agricultural Marketing Service (Marketing Agreements and Orders; Miscellaneous Commodities), Department of Agriculture (Parts 1200-1299)

XIV Commodity Credit Corporation, Department of Agriculture (Parts 1400-1499)

XV Foreign Agricultural Service, Department of Agriculture (Parts 1500-1599)

XVI Rural Telephone Bank, Department of Agriculture (Parts 1600-1699)

XVII Rural Electrification Administration, Department of Agriculture (Parts 1700-1799)

XVIII Farmers Home Administration, Department of Agriculture (Parts 1800-2099)

XXI Foreign Economic Development Service, Department of Agriculture (Parts 2100—2199)

XXII Office of International Cooperation and Development, Department of Agriculture (Parts 2200—2299)

XXIV Board of Contract Appeals, Department of Agriculture (Parts 2400-2499)

Title 7—Agriculture—Continued

Chap.

XXV Office of the General Sales Manager, Department of Agriculture (Parts 2500-2599)

XXVI Office of Inspector General, Department of Agriculture (Parts 2600-2699)

XXVII Office of Information Resources Management, Department of Agriculture (Parts 2700—2799)

XXIX Office of Energy, Department of Agriculture (Parts 2900-2999)

XXX Office of Operations and Finance, Department of Agriculture (Parts 3000—3099)

XXXI Office of Environmental Quality, Department of Agriculture (Parts 3100—3199)

XXXII Office of Grants and Program Systems, Department of Agriculture (Parts 3200—3299)

XXXIV Cooperative State Research Service, Department of Agriculture (Parts 3400—3499)

Title 8—Aliens and Nationality

I Immigration and Naturalization Service, Department of Justice (Parts 1-499)

Title 9—Animals and Animal Products

I Animal and Plant Health Inspection Service, Department of Agriculture (Parts 1-199)

II Packers and Stockyards Administration, Department of Agriculture (Parts 200-299)

III Food Safety and Inspection Service, Meat and Poultry Inspection, Department of Agriculture (Parts 300-399)

Title 10—Energy

I Nuclear Regulatory Commission (Parts 0-199)

II Department of Energy (Parts 200-699)

III Department of Energy (Parts 700-999)

X Department of Energy (General Provisions) (Parts 1000-1099)

XV Office of the Federal Inspector for the Alaska Natural Gas Transportation System (Parts 1500—1599)

Title 11—Federal Elections

I Federal Election Commission (Parts 1-9099)

Title 12—Banks and Banking

I Comptroller of the Currency, Department of the Treasury (Parts 1-199)

II Federal Reserve System (Parts 200-299)

III Federal Deposit Insurance Corporation (Parts 300-399)

IV Export-Import Bank of the United States (Parts 400-499)

Title 12—Banks and Banking—Continued

Chap.

V Federal Home Loan Bank Board (Parts 500-599)

VI Farm Credit Administration (Parts 600-699)

VII National Credit Union Administration (Parts 700-799)

VIII Federal Financing Bank (Parts 800-899)

XI Federal Financial Institutions Examination Council (Parts 1100—1199)

Title 13—Business Credit and Assistance

I Small Business Administration (Parts 1-199)

III Economic Development Administration, Department of Commerce (Parts 300-399)

V Regional Action Planning Commissions (Parts 500-599)

Title 14—Aeronautics and Space

I Federal Aviation Administration, Department of Transportation (Parts 1-199)

II Office of the Secretary, Department of Transportation (Aviation Proceedings) (Parts 200-399)

III Office of Commercial Space Transportation, Department of Transportation (Parts 400-499)

V National Aeronautics and Space Administration (Parts 1200-1299)

Title 15—Commerce and Foreign Trade

SUBTITLE A—Office of the Secretary of Commerce (Parts 0-29)

SUBTITLE B—Regulations Relating to Commerce and Foreign Trade

I Bureau of the Census, Department of Commerce (Parts 30-199)

II National Bureau of Standards, Department of Commerce (Parts 200-299)

III International Trade Administration, Department of Commerce (Parts 300-399)

IV Foreign-Trade Zones Board (Parts 400-499)

VI Bureau of Industrial Economics, Department of Commerce (Parts 600—699)

VIII Bureau of Economic Analysis, Department of Commerce (Parts 800-899)

IX National Oceanic and Atmospheric Administration, Department of Commerce (Parts 900-999)

XII United States Travel Service, Department of Commerce (Parts 1200-1299)

XIII East-West Foreign Trade Board (Parts 1300-1399)

XIV Minority Business Development Agency (Parts 1400—1499)

SUBTITLE C—Regulations Relating to Foreign Trade Agreements

XX Office of the United States Trade Representative (Parts 2000-2099)

Title 15—Commerce and Foreign Trade—Continued

Chap.

SUBTITLE D—Regulations Relating to Telecommunications and Information

XXIII National Telecommunications and Information Administration, Department of Commerce (Parts 2300-2399)

Title 16—Commercial Practices

I Federal Trade Commission (Parts 0-999)

II Consumer Product Safety Commission (Parts 1000-1799)

Title 17—Commodity and Securities Exchanges

I Commodity Futures Trading Commission (Parts 1-199)

II Securities and Exchange Commission (Parts 200-399)

Title 18—Conservation of Power and Water Resources

I Federal Energy Regulatory Commission, Department of Energy (Parts 1-399)

III Delaware River Basin Commission (Parts 400-499)

VI Water Resources Council (Parts 700-799)

VIII Susquehanna River Basin Commission (Parts 800-899)

XIII Tennessee Valley Authority (Parts 1300-1399)

Title 19—Customs Duties

I United States Customs Service, Department of the Treasury (Parts 1-199)

II United States International Trade Commission (Parts 200-299)

III International Trade Administration, Department of Commerce (Parts 300-399)

Title 20—Employees' Benefits

I Office of Workers' Compensation Programs, Department of Labor (Parts 1-199)

II Railroad Retirement Board (Parts 200-399)

III Social Security Administration, Department of Health and Human Services (Parts 400-499)

IV Employees' Compensation Appeals Board, Department of Labor (Parts 500-599)

V Employment and Training Administration, Department of Labor (Parts 600-699)

VI Employment Standards Administration, Department of Labor (Parts 700-799)

VII Benefits Review Board, Department of Labor (Parts 800-899)

VIII Joint Board for the Enrollment of Actuaries (Parts 900-999)

73-134 O—86——8

BEST COPY AVAILABLE

Title 21—Food and Drugs

Chap.

I Food and Drug Administration, Department of Health and Human Services (Parts 1-1299)

II Drug Enforcement Administration, Department of Justice (Parts 1300-1399)

Title 22—Foreign Relations

I Department of State (Parts 1-199)

II Agency for International Development, International Development Cooperation Agency (Parts 200-299)

III Peace Corps (Parts 300-399)

IV International Joint Commission, United States and Canada (Parts 400-499)

V United States Information Agency (Parts 500-599)

VI United States Arms Control and Disarmament Agency (Parts 600-699)

VII Overseas Private Investment Corporation (Parts 700-799)

IX Foreign Service Grievance Board Regulations (Parts 900-999)

X Inter-American Foundation (Parts 1000-1099)

XI International Boundary and Water Commission, United States and Mexico, United States Section (Parts 1100-1199)

XII United States International Development Cooperation Agency (Parts 1200—1299)

XIII Board for International Broadcasting (Parts 1300—1399)

XIV Foreign Service Labor Relations Board; Federal Labor Relations Authority; General Counsel of the Federal Labor Relations Authority; and the Foreign Service Impasse Disputes Panel (Parts 1400—1499)

XV African Development Foundation (Parts 1500—1599)

Title 23—Highways

I Federal Highway Administration, Department of Transportation (Parts 1-999)

II National Highway Traffic Safety Administration and Federal Highway Administration, Department of Transportation (Parts 1200-1299)

III National Highway Traffic Safety Administration, Department of Transportation (Parts 1300—1399)

Title 24—Housing and Urban Development

SUBTITLE A—Office of the Secretary, Department of Housing and Urban Development (Parts 0-99)

SUBTITLE B—Regulations Relating to Housing and Urban Development

I Office of Assistant Secretary for Equal Opportunity, Department of Housing and Urban Development (Parts 100-199)

II Office of Assistant Secretary for Housing-Federal Housing Commissioner, Department of Housing and Urban Development (Parts 200-299)

Title 24—Housing and Urban Development—Continued

Chap.

III Government National Mortgage Association, Department of Housing and Urban Development (Parts 300-399)

V Office of Assistant Secretary for Community Planning and Development, Department of Housing and Urban Development (Parts 500-599)

VI Office of Assistant Secretary for Community Planning and Development, Department of Housing and Urban Development (Parts 600-699)

VII Office of the Secretary, Department of Housing and Urban Development (Section 8 Housing Assistance Programs and Public and Indian Housing Programs) (Parts 700-799)

VIII Office of the Assistant Secretary for Housing—Federal Housing Commissioner, Department of Housing and Urban Development (Section 8 Housing Assistance Programs and Section 202 Direct Loan Program) (Parts 800-899)

IX Office of Assistant Secretary for Public and Indian Housing, Department of Housing and Urban Development (Parts 900-999)

X Office of Assistant Secretary for Housing—Federal Housing Commissioner, Department of Housing and Urban Development (Interstate Land Sales Registration Program) (Parts 1700-1799)

XI Solar Energy and Energy Conservation Bank, Department of Housing and Urban Development (1800-1899)

XII Office of Inspector General, Department of Housing and Urban Development (Parts 2000—2099)

XV Mortgage Insurance and Loan Programs under the Emergency Homeowners' Relief Act, Department of Housing and Urban Development (Parts 2700-2799)

XX Office of Assistant Secretary for Housing—Federal Housing Commissioner, Department of Housing and Urban Development (Parts 3200-3699)

XXV Neighborhood Reinvestment Corporation (Parts 4100-4199)

Title 25—Indians

I Bureau of Indian Affairs, Department of the Interior (Parts 1-299)

II Indian Arts and Crafts Board, Department of the Interior (Parts 300-399)

IV Navajo and Hopi Indian Relocation Commission (Parts 700-799)

Title 26—Internal Revenue

I Internal Revenue Service, Department of the Treasury (Parts 1-699)

Title 27—Alcohol, Tobacco Products and Firearms

I Bureau of Alcohol, Tobacco and Firearms, Department of the Treasury (Parts 1-299)

Title 28—Judicial Administration

Chap.

I Department of Justice (Parts 0-199)

III Federal Prison Industries, Department of Justice (Parts 300-399)

V Bureau of Prisons, Department of Justice (Parts 500-599)

Title 29—Labor

SUBTITLE A—Office of the Secretary of Labor (Parts 0-99)

SUBTITLE B—Regulations Relating to Labor

I National Labor Relations Board (Parts 100-199)

II Bureau of Labor-Management Relations and Cooperative Programs, Department of Labor (Parts 200-299)

III National Railroad Adjustment Board (Parts 300-399)

IV Office of Labor-Management Standards, Department of Labor (Parts 400-499)

V Wage and Hour Division, Department of Labor (Parts 500-899)

IX Construction Industry Collective Bargaining Commission (Parts 900-999)

X National Mediation Board (Parts 1200-1299)

XII Federal Mediation and Conciliation Service (Parts 1400-1499)

XIV Equal Employment Opportunity Commission (Parts 1600-1699)

XVII Occupational Safety and Health Administration, Department of Labor (Parts 1900-1999)

XX Occupational Safety and Health Review Commission (Parts 2200-2499)

XXV Pension and Welfare Benefits Administration, Department of Labor (Parts 2500-2599)

XXVI Pension Benefit Guaranty Corporation (Parts 2600-2699)

XXVII Federal Mine Safety and Health Review Commission (Parts 2700-2799)

Title 30—Mineral Resources

I Mine Safety and Health Administration, Department of Labor (Parts 1-199)

II Minerals Management Service, Department of the Interior (Parts 200-299)

III Board of Surface Mining and Reclamation Appeals, Department of the Interior (Parts 300-399)

IV Geological Survey, Department of the Interior (Parts 400—499)

VI Bureau of Mines, Department of the Interior (Parts 600-699)

VII Office of Surface Mining Reclamation and Enforcement, Department of the Interior (Parts 700-999)

Title 31—Money and Finance: Treasury

SUBTITLE A—Office of the Secretary of the Treasury (Parts 0-50)

SUBTITLE B—Regulations Relating to Money and Finance

Chap.

I Monetary Offices, Department of the Treasury (Parts 51-199)
II Fiscal Service, Department of the Treasury (Parts 200-399)
IV Secret Service, Department of the Treasury (Parts 400-499)
V Office of Foreign Assets Control, Department of the Treasury (Parts 500-599)
VI Bureau of Engraving and Printing, Department of the Treasury (Parts 600-699)
VII Federal Law Enforcement Training Center, Department of the Treasury (Parts 700-799)

Title 32—National Defense

SUBTITLE A—Department of Defense
I Office of the Secretary of Defense (Parts 1-399)
V Department of the Army (Parts 400-699)
VI Department of the Navy (Parts 700-799)
VII Department of the Air Force (Parts 800-1099)
SUBTITLE B—Other Regulations Relating to National Defense
XII Defense Logistics Agency (Parts 1200-1299)
XVI Selective Service System (Parts 1600-1699)
XIX Central Intelligence Agency (Parts 1900-1999)
XX Information Security Oversight Office (Parts 2000-2099)
XXI National Security Council (Parts 2100-2199)
XXIV Office of Science and Technology Policy (Parts 2400—2499)
XXVII Office for Micronesian Status Negotiations (Parts 2700—2799)
XXVIII Office of the Vice President of the United States (Parts 2800-2899)

Title 33—Navigation and Navigable Waters

I Coast Guard, Department of Transportation (Parts 1-199)
II Corps of Engineers, Department of the Army (Parts 200-399)
IV Saint Lawrence Seaway Development Corporation, Department of Transportation (Parts 400-499)

Title 34—Education

SUBTITLE A—Office of the Secretary, Department of Education (Parts 1—99)
SUBTITLE B—Regulations of the Offices of the Department of Education
I Office for Civil Rights, Department of Education (Parts 100—199)
II Office of Elementary and Secondary Education, Department of Education (Parts 200—299)
III Office of Special Education and Rehabilitative Services, Department of Education (Parts 300—399)
IV Office of Vocational and Adult Education, Department of Education (Parts 400—499)

BEST COPY AVAILABLE

Title 34—Education—Continued

Chap.

V Office of Bilingual Education and Minority Languages Affairs, Department of Education (Parts 500—599)

VI Office of Postsecondary Education, Department of Education (Parts 600—699)

VII Office of Educational Research and Improvement, Department of Education (Parts 700—799)

Title 35—Panama Canal

I Panama Canal Regulations (Parts 1-299)

Title 36—Parks, Forests, and Public Property

I National Park Service, Department of the Interior (Parts 1-199)

II Forest Service, Department of Agriculture (Parts 200-299)

III Corps of Engineers, Department of the Army (Parts 300-399)

IV American Battle Monuments Commission (Parts 400-499)

V Smithsonian Institution (Parts 500-599)

VII Library of Congress (Parts 700-799)

VIII Advisory Council on Historic Preservation (Parts 800-899)

IX Pennsylvania Avenue Development Corporation (Parts 900-999)

X Commission of Fine Arts (Parts 1000-1099)

XI Architectural and Transportation Barriers Compliance Board (Parts 1100-1199)

XII National Archives and Records Administration (Parts 1200—1299)

Title 37—Patents, Trademarks, and Copyrights

I Patent and Trademark Office, Department of Commerce (Parts 1-199)

II Copyright Office, Library of Congress (Parts 200-299)

III Copyright Royalty Tribunal (Parts 300-399)

IV Assistant Secretary for Productivity, Technology and Innovation, U.S. Department of Commerce (Parts 400-499)

Title 38—Pensions, Bonuses, and Veterans' Relief

I Veterans Administration (Parts 0-99)

Title 39—Postal Service

I United States Postal Service (Parts 1-999)

III Postal Rate Commission (Parts 3000-3099)

Title 40—Protection of Environment

I Environmental Protection Agency (Parts 1-799)

V Council on Environmental Quality (Parts 1500-1599)

Title 41—Public Contracts and Property Management

Chap.

SUBTITLE B—Other Provisions Relating to Public Contracts

50 Public Contracts, Department of Labor (Parts 50-1-50-999)

51 Committee for Purchase from the Blind and Other Severely Handicapped (Parts 51-1-51-99)

60 Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor (Parts 60-1-60-999)

SUBTITLE C—Federal Property Management Regulations System

101 Federal Property Management Regulations (Parts 101-1-101-99)

105 General Services Administration (Parts 105-1-105-999)

109 Department of Energy Property Management Regulations (Parts 109-1-109-99)

114 Department of the Interior (Parts 114-1-114-99)

115 Environmental Protection Agency (Parts 115-1—115-99)

128 Department of Justice (Parts 128-1-128-99)

SUBTITLE D—Other Provisions Relating to Property Management (Reserved)

SUBTITLE E—Federal Information Resources Management Regulations System

201 Federal Information Resources Management Regulation (Parts 201-1—201-99)

Title 42—Public Health

I Public Health Service, Department of Health and Human Services (Parts 1-199)

III Saint Elizabeths Hospital, Department of Health and Human Services (Parts 300-399)

IV Health Care Financing Administration, Department of Health and Human Services (Parts 400-499)

Title 43—Public Lands: Interior

SUBTITLE A—Office of the Secretary of the Interior (Parts 1-199)

SUBTITLE B—Regulations Relating to Public Lands

I Bureau of Reclamation, Department of the Interior (Parts 200-499)

II Bureau of Land Management, Department of the Interior (Parts 1000-9999)

Title 44—Emergency Management and Assistance

I Federal Emergency Management Agency (Parts 0—399)

IV Department of Commerce and Department of Transportation (Parts 400-499)

Title 45—Public Welfare

Chap.

SUBTITLE A—Department of Health and Human Services, General Administration (Parts 1-199)

SUBTITLE B—Regulations Relating to Public Welfare

II Office of Family Assistance (Assistance Programs), Department of Health and Human Services (Parts 200-299)

III Office of Child Support Enforcement (Child Support Enforcement Program), Department of Health and Human Services (Parts 300-399)

IV Office of Refugee Resettlement, Social Security Administration, Department of Health and Human Services (Parts 400—499)

V Foreign Claims Settlement Commission of the United States, Department of Justice (Parts 500-599)

VI National Science Foundation (Parts 600-699)

VII Commission on Civil Rights (Parts 700-799)

VIII Office of Personnel Management (Parts 800-899)

X Office of Community Services, Department of Health and Human Services (Parts 1000-1099)

XI National Foundation on the Arts and the Humanities (Parts 1100-1199)

XII ACTION (Parts 1200-1299)

XIII Office of Human Development Services, Department of Health and Human Services (Parts 1300-1399)

XVI Legal Services Corporation (Parts 1600-1699)

XVII National Commission on Libraries and Information Science (Parts 1700-1799)

XVIII Harry S. Truman Scholarship Foundation (Parts 1800-1899)

XX Commission on the Bicentennial of the United States Constitution (Parts 2000-2099)

Title 46—Shipping

I Coast Guard, Department of Transportation (Parts 1-199)

II Maritime Administration, Department of Transportation (Parts 200-399)

III Coast Guard (Great Lakes Pilotage), Department of Transportation (Parts 400-499)

IV Federal Maritime Commission (Parts 500—599)

Title 47—Telecommunication

I Federal Communications Commission (Parts 0-199)

II Office of Science and Technology Policy and National Security Council (Parts 200-299)

Title 48—Federal Acquisition Regulations System

1 Federal Acquisition Regulation (Parts 1—99)

2 Department of Defense (Parts 200—299)

3 Department of Health and Human Services (Parts 300—399)

COPY AVAILABLE

Title 48—Federal Acquisition Regulations System—Continued

Chap.

4 Department of Agriculture (Parts 400—499)

5 General Services Administration (Parts 500—599)

7 Agency for International Development (Parts 700—799)

8 Veterans Administration (Parts 800—899)

9 Department of Energy (Parts 900—999)

10 Department of the Treasury Acquisition/Procurement Regulation (Parts 1000—1099)

12 Department of Transportation (Parts 1200—1299)

13 Department of Commerce (Parts 1300—1399)

14 Department of the Interior (Parts 1400—1499)

15 Environmental Protection Agency (Parts 1500—1599)

18 National Aeronautics and Space Administration (Parts 1800—1899)

19 United States Information Agency (Parts 1900—1999)

22 Small Business Administration (Parts 2200—2299)

24 Department of Housing and Urban Development (Parts 2400—2499)

25 National Science Foundation (Parts 2500—2599)

28 Department of Justice (Parts 2800—2899)

29 Department of Labor (Parts 2900—2999)

44 Federal Emergency Management Agency (Parts 4400—4499)

52 Department of the Navy acquisition regulations (Parts 5200—5299)

61 General Services Administration Board of Contract Appeals (Parts 6100—6199)

Title 49—Transportation

SUBTITLE A—Office of the Secretary of Transportation (Parts 1-99)

SUBTITLE B—Other Regulations Relating to Transportation

I Research and Special Programs Administration, Department of Transportation (Parts 100-199)

II Federal Railroad Administration, Department of Transportation (Parts 200-299)

III Federal Highway Administration, Department of Transportation (Parts 300-399)

IV Coast Guard, Department of Transportation (Parts 400-499)

V National Highway Traffic Safety Administration, Department of Transportation (Parts 500-599)

VI Urban Mass Transportation Administration, Department of Transportation (Parts 600-699)

VII National Railroad Passenger Corporation (AMTRAK) (Parts 700—799)

VIII National Transportation Safety Board (Parts 800-899)

IX United States Railway Association (Parts 900-999)

X Interstate Commerce Commission (Parts 1000-1399)

Title 50—Wildlife and Fisheries

Chap.

I United States Fish and Wildlife Service, Department of the Interior (Parts 1-199)

II National Marine Fisheries Service, National Oceanic and Atmospheric Administration, Department of Commerce (Parts 200-299)

III International Regulatory Agencies (Fishing and Whaling) (Parts 300-399)

IV Joint Regulations (United States Fish and Wildlife Service, Department of the Interior and National Marine Fisheries Service, National Oceanic and Atmospheric Administration, Department of Commerce); Endangered Species Committee Regulations (Parts 400-499)

V Marine Mammal Commission (Parts 500-599)

VI Fishery Conservation and Management, National Oceanic and Atmospheric Administration, Department of Commerce (Parts 600-699)

CFR Index and Finding Aids

Subject/Agency Index

List of Agency Prepared Indexes

Parallel Tables of Statutory Authorities and Rules

Acts Requiring Publication in the Federal Register

List of CFR Titles, Chapters, Subchapters, and Parts

Alphabetical List of Agencies Appearing in the CFR

(As of June 13, 1986)

Agency	CFR Title, Subtitle or Chapter
ACTION	45, XII
Administrative Committee of the Federal Register	1, I
Administrative Conference of the United States	1, III
Advisory Commission on Intergovernmental Relations	5, VII
Advisory Committee on Federal Pay	5, IV
Advisory Council on Historic Preservation	36, VIII
African Development Foundation	22, XV
Agency for International Development	22, II; 48, 7
Agricultural Marketing Service	7, I, IX, X, XI
Agricultural Research Service	7, V
Agricultural Stabilization and Conservation Service	7, VII
Agriculture Department	
Agricultural Marketing Service	7, I, IX, X, XI
Agricultural Research Service	7, V
Agricultural Stabilization and Conservation Service	7, VII
Animal and Plant Health Inspection Service	7, III; 9, I
Commodity Credit Corporation	7, XIV
Contract Appeals, Board of	7, XXIV
Cooperative State Research Service	7, XXXIV
Energy, Office of	7, XXIX
Environmental Quality, Office of	7, XXXI
Farmers Home Administration	7, XVIII
Federal Acquisition Regulation	48, 4
Federal Crop Insurance Corporation	7, IV
Federal Grain Inspection Service	7, VIII
Food and Nutrition Service	7, II
Food Safety and Inspection Service	9, III
Foreign Agricultural Service	7, XV
Foreign Economic Development Service	7, XXI
Forest Service	36, II
General Sales Manager, Office of	7, XXV
Grants and Program Systems, Office of	7, XXXII
Information Resources Management, Office of	7, XXVII
Inspector General, Office of	7, XXVI
International Cooperation and Development Office	7, XXII
Operations and Finance, Office of	7, XXX
Packers and Stockyards Administration	9, II
Rural Electrification Administration	7, XVII
Rural Telephone Bank	7, XVI
Secretary of Agriculture, Office of	7, Subtitle A
Soil Conservation Service	7, VI
Air Force Department	32, VII
Alaska Natural Gas Transportation System, Office of the Federal Inspector	10, XV
Alcohol, Tobacco and Firearms, Bureau of	27, I
AMTRAK	49, VII
American Battle Monuments Commission	36, IV
Animal and Plant Health Inspection Service	7, III; 9, I
Appalachian Regional Commission	5, IX
Architectural and Transportation Barriers Compliance Board	36, XI

Agency	CFR Title, Subtitle or Chapter
Arms Control and Disarmament Agency, U.S.	22, VI
Army Department	32, V
Engineers, Corps of	33, II; 36, III
Benefits Review Board	20, VII
Bicentennial of the United States Constitution, Commission on	45, XX
Bilingual Education and Minority Languages Affairs, Office of	34, V
Blind and Other Severely Handicapped, Committee for Purchase from	41, 51
Board for International Broadcasting	22, XIII
Budget, Office of Management and	5, III
Census Bureau	15, I
Central Intelligence Agency	32, XIX
Child Support Enforcement, Office of	45, III
Civil Rights Commission	45, VII
Civil Rights, Office for (Education Department)	34, I
Claims Collection Standards, Federal	4, II
Coast Guard	33, I; 46, I, III; 49, IV
Commerce Department	44, IV
Census Bureau	15, I
Economic Analysis, Bureau of	15, VIII
Economic Development Administration	13, III
Endangered Species Committee	50, IV
Federal Acquisition Regulation	48, 13
Fishery Conservation and Management	50, VI
Industrial Economics, Bureau of	15, VI
International Trade Administration	15, III; 19, III
National Bureau of Standards	15, II
National Marine Fisheries Service	50, II, IV
National Oceanic and Atmospheric Administration	15, IX; 50, II, III, IV, VI
National Telecommunications and Information Administration	15, XXIII
Patent and Trademark Office	37, I
Productivity, Technology and Innovation, Assistant Secretary	37, IV
Secretary of Commerce, Office of	15, Subtitle A
United States Travel Service	15, XII
Commercial Space Transportation, Office of, Department of Transportation	14, III
Commission on the Bicentennial of the United States Constitution	45, XX
Committee for Purchase from Blind and Other Severely Handicapped	41, 51
Commodity Credit Corporation	7, XIV
Commodity Futures Trading Commission	17, I
Community Planning and Development, Office of Assistant Secretary for	24, V, VI
Community Services, Office of	45, X
Comptroller of the Currency	12, I
Construction Industry Collective Bargaining Commission	29, IX
Consumer Product Safety Commission	16, II
Contract Appeals, Board of	7, XXIV
Cooperative State Research Service	7, XXXIV
Copyright Office	37, II
Copyright Royalty Tribunal	37, III
Council on Environmental Quality	40, V
Customs Service, United States	19, I
Defense Department	32, Subtitle A
Air Force Department	32, VII
Army Department	32, V; 33, II; 36, III
Engineers, Corps of	33, II; 36, III
Federal Acquisition Regulation	48, 2
Navy Department	32, VI; 48, 52
Secretary of Defense, Office of	32, I

Agency	CFR Title, Subtitle or Chapter
Defense Logistics Agency	32, XII
Delaware River Basin Commission	18, III
Drug Enforcement Administration	21, II
East-West Foreign Trade Board	15, XIII
Economic Analysis, Bureau of	15, VIII
Economic Development Administration	13, III
Education, Department of	
Bilingual Education and Minority Languages Affairs, Office of	34, V
Civil Rights, Office for	34, I
Educational Research and Improvement, Office of	34, VII
Elementary and Secondary Education, Office of	34, II
Postsecondary Education, Office of	34, VI
Secretary of Education, Office of	34, Subtitle A
Special Education and Rehabilitative Services, Office of	34, III
Vocational and Adult Education, Office of	34, IV
Educational Research and Improvement, Office of	34, VII
Elementary and Secondary Education, Office of	34, II
Employees' Compensation Appeals Board	20, IV
Employees Loyalty Board, International Organizations	5, V
Employment and Training Administration	20, V
Employment Standards Administration	20, VI
Endangered Species Committee	50, IV
Energy, Department of	10, II, III, X; 41, 109
Federal Acquisition Regulation	48, 9
Federal Energy Regulatory Commission	18, I
Energy, Office of, Department of Agriculture	7, XXIX
Engineers, Corps of	33, II; 36, III
Engraving and Printing, Bureau of	31, VI
Environmental Protection Agency	40, I; 41, 115; 48, 15
Environmental Quality, Office of (Agriculture Department)	7, XXXI
Equal Employment Opportunity Commission	29, XIV
Equal Opportunity, Office of Assistant Secretary for	24, I
Executive Office of the President	3, I
Administration, Office of	5, XV
Export-Import Bank of the United States	12, IV
Family Assistance, Office of	45, II
Farm Credit Administration	12, VI
Farmers Home Administration	7, XVIII
Federal Acquisition Regulation	48, 1
Federal Aviation Administration	14, I
Federal Claims Collection Standards	4, II
Federal Communications Commission	47, I
Federal Contract Compliance Programs, Office of	41, 60
Federal Crop Insurance Corporation	7, IV
Federal Deposit Insurance Corporation	12, III
Federal Election Commission	11, I
Federal Emergency Management Agency	44, I; 48, 44
Federal Energy Regulatory Commission	18, I
Federal Financial Institutions Examination Council	12, XI
Federal Financing Bank	12, VIII
Federal Grain Inspection Service	7, VIII
Federal Highway Administration	23, I, II; 49, III
Federal Home Loan Bank Board	12, V
Federal Home Loan Mortgage Corporation	1, IV
Federal Information Resources Management Regulations	41, Subtitle E, Ch. 201
Federal Inspector for the Alaska Natural Gas Transportation System, Office of	10, XV
Federal Labor Relations Authority, and General Counsel of the Federal Labor Relations Authority	5, XIV; 22, XIV
Federal Law Enforcement Training Center	31, VII
Federal Maritime Commission	46, IV
Federal Mediation and Conciliation Service	29, XII
Federal Mine Safety and Health Review Commission	29, XXVII
Federal Pay, Advisory Committee on	5, IV
Federal Prison Industries	28, III

73-134 O—86——9

BEST COPY AVAILABLE

Agency	CFR Title, Subtitle or Chapter
Federal Property Management Regulations	41, 101
Federal Property Management Regulations System	41, Subtitle C
Federal Railroad Administration	49, II
Federal Register, Administrative Committee of	1, I
Federal Register, Office of	1, II
Federal Reserve System	12, II
Federal Service Impasses Panel	5, XIV
Federal Trade Commission	16, I
Fine Arts Commission	36, X; 45, XXI
Fiscal Service	31, II
Fish and Wildlife Service, United States	50, I, IV
Fishery Conservation and Management	50, VI
Fishing and Whaling, International Regulatory Agencies	50, III
Food and Drug Administration	21, I
Food and Nutrition Service	7, II
Food Safety and Inspection Service	9, III
Foreign Agricultural Service	7, XV
Foreign Assets Control, Office of	31, V
Foreign Claims Settlement Commission of United States	45, V
Foreign Economic Development Service	7, XXI
Foreign Service Grievance Board	22, IX
Foreign Service Impasse Disputes Panel	22, XIV
Foreign Service Labor Relations Board	22, XIV
Foreign-Trade Zones Board	15, IV
Forest Service	36, II
General Accounting Office	4, I, II, III
General Sales Manager, Office of	7, XXV
General Services Administration	
Contract Appeals Board	48, 61
Federal Acquisition Regulation	48, 5
Federal Information Resources Management Regulations	41, Subtitle E, Ch. 201
Federal Property Management Regulations System	41, 101, 105
Geological Survey	30, IV
Government National Mortgage Association	24, III
Grants and Program Systems, Office of	7, XXXII
Great Lakes Pilotage	46, III
Harry S Truman Scholarship Foundation	45, XVIII
Health and Human Services, Department of	45, Subtitle A
Child Support Enforcement, Office of	45, III
Community Services, Office of	45, X
Family Assistance, Office of	45, II
Federal Acquisition Regulation	48, 3
Food and Drug Administration	21, I
Health Care Financing Administration	42, IV
Human Development Services Office	45, XIII
Public Health Service	42, I
Refugee Resettlement, Office of	45, IV
St. Elizabeths Hospital	42, III
Social Security Administration	20, III; 45, IV
Health Care Financing Administration	42, IV
Housing and Urban Development, Department of	
Community Planning and Development, Office of Assistant Secretary for	24, V, VI
Equal Opportunity, Office of Assistant Secretary for	24, I
Federal Acquisition Regulation	48, 24
Government National Mortgage Association	24, III
Housing—Federal Housing Commissioner, Office of Assistant Secretary for	24, II, VIII, X, XX
Inspector General, Office of	24, XII
Mortgage Insurance and Loan Programs Under Emergency Homeowners' Relief Act	24, XV
Public and Indian Housing, Office of Assistant Secretary for	24, IX
Secretary, Office of	24, Subtitle A, VII
Solar Energy and Energy Conservation Bank	24, XI

Agency	CFR Title, Subtitle or Chapter
Housing—Federal Housing Commissioner, Office of Assistant Secretary for	24, II, VIII, X, XX
Human Development Services Office	45, XIII
Immigration and Naturalization Service	8, I
Indian Affairs, Bureau of	25, I
Indian Arts and Crafts Board	25, II
Industrial Economics, Bureau of, Commerce Department	15, VI
Information Agency, United States	22, V; 48, 19
Information Resources Management, Office of, Agriculture Department	7, XXVII
Information Security Oversight Office	32, XX
Inspector General, Office of, Agriculture Department	7, XXVI
Inspector General, Office of, Housing and Urban Development Department	24, XII
Inter-American Foundation	22, X
Intergovernmental Relations, Advisory Commission on	5, VII
Interior Department	
Endangered Species Committee	50, IV
Federal Acquisition Regulation	48, 14
Federal Property Management Regulations System	41, 114
Fish and Wildlife Service, United States	50, I, IV
Geological Survey	30, IV
Indian Affairs, Bureau of	25, I
Indian Arts and Crafts Board	25, II
Land Management Bureau	43, II
Minerals Management Service	30, II
Mines, Bureau of	30, VI
National Park Service	36, I
Reclamation Bureau	43, I
Secretary of the Interior, Office of	43, Subtitle A
Surface Mining and Reclamation Appeals, Board of	30, III
Surface Mining Reclamation and Enforcement, Office of	30, VII
United States Fish and Wildlife Service	50, I, IV
Internal Revenue Service	26, I
International Boundary and Water Commission, United States and Mexico	22, XI
International Cooperation and Development Office	7, XXII
International Development, Agency for	22, II
International Development Cooperation Agency	22, XII
International Development, Agency for	22, II
International Joint Commission, United States and Canada	22, IV
International Organizations Employees Loyalty Board	5, V
International Regulatory Agencies (Fishing and Whaling)	50, III
International Trade Administration	15, III; 19, III
International Trade Commission, United States	19, II
Interstate Commerce Commission	49, X
Joint Board for the Enrollment of Actuaries	20, VIII
Justice Department	28, I; 41, 128
Drug Enforcement Administration	21, II
Federal Acquistion Regulation	48, 28
Federal Claims Collection Standards	4, II
Federal Prison Industries	28, III
Foreign Claims Settlement Commission of the United States	45, V
Immigration and Naturalization Service	8, I
Prisons, Bureau of	28, V
Labor Department	
Benefits Review Board	20, VII
Employees' Compensation Appeals Board	20, IV
Employment and Training Administration	20, V
Employment Standards Administration	20, VI
Federal Acquisition Regulation	48, 29
Federal Contract Compliance Programs, Office of	41, 60
Federal Procurement Regulations System	41, 50
Labor-Management Relations and Cooperative Programs, Bureau of	29, II

BEST COPY AVAILABLE

Agency	CFR Title, Subtitle or Chapter
Labor-Management Standards, Office of	29, IV
Mine Safety and Health Administration	30, I
Occupational Safety and Health Administration	29, XVII
Pension and Welfare Benefits Administration	29, XXV
Public Contracts	41, 50
Secretary of Labor, Office of	29, Subtitle A
Wage and Hour Division	29, V
Workers' Compensation Programs, Office of	20, I
Labor-Management Relations and Cooperative Programs, Bureau of	29, II
Labor-Management Standards, Office of	29, IV
Land Management, Bureau of	43, II
Legal Services Corporation	45, XVI
Library of Congress	36, VII
Copyright Office	37, II
Management and Budget, Office of	5, III
Marine Mammal Commission	50, V
Maritime Administration	46, II
Merit Systems Protection Board	5, II
Micronesian Status Negotiations, Office for	32, XXVII
Mine Safety and Health Administration	30, I
Minerals Management Service	30, II
Mines, Bureau of	30, VI
Minority Business Development Agency	15, XIV
Miscellaneous Agencies	1, IV
Monetary Offices	31, I
Mortgage Insurance and Loan Programs Under the Emergency Homeowners' Relief Act, Department of Housing and Urban Development	24, XV
National Aeronautics and Space Administration	14, V; 48, 18
National Archives and Records Administration	36, XII
National Bureau of Standards	15, II
National Capital Planning Commission	1, IV
National Commission on Libraries and Information Science	45, XVII
National Credit Union Administration	12, VII
National Foundation on the Arts and the Humanities	45, XI
National Highway Traffic Safety Administration	23, II, III; 49, V
National Labor Relations Board	29, I
National Marine Fisheries Service	50, II, IV
National Mediation Board	29, X
National Oceanic and Atmospheric Administration	15, IX; 50, II, III, IV, VI
National Park Service	36, I
National Railroad Adjustment Board	29, III
National Railroad Passenger Corporation (AMTRAK)	49, VII
National Science Foundation	45, VI; 48,25
National Security Council	32, XXI
National Security Council and Office of Science and Technology Policy	47, II
National Telecommunications and Information Administration	15, XXIII
National Transportation Safety Board	49, VIII
Navajo and Hopi Indian Relocation Commission	25, IV
Navy Department	32, VI; 48, 52
Neighborhood Reinvestment Corporation	24, XXV
Nuclear Regulatory Commission	10, I
Occupational Safety and Health Administration	29, XVII
Occupational Safety and Health Review Commission	29, XX
Overseas Private Investment Corporation	22, VII
Packers and Stockyards Administration	9, II
Panama Canal Regulations	35, I
Patent and Trademark Office	37, I
Peace Corps	22, III
Pennsylvania Avenue Development Corporation	36, IX
Pension Benefit Guaranty Corporation	29, XXVI

Agency	CFR Title, Subtitle or Chapter
Pension and Welfare Benefits Administration, Department of Labor	29, XXV
Personnel Management, Office of	5, I; 45, VIII
Postal Rate Commission	39, III
Postal Service, United States	39, I
Postsecondary Education, Office of	34, VI
President's Commission on White House Fellowships	1, IV
Presidential Documents	3
Prisons, Bureau of	28, V
Productivity, Technology and Innovation, Assistant Secretary (Commerce)	37, IV
Property Management Regulations System, Federal	41, Subtitle C
Public Contracts, Department of Labor	41, 50
Public Health Service	42, I
Railroad Retirement Board	20, II
Railway Association, United States	49, IX
Reclamation Bureau	43, I
Refugee Resettlement, Office of	45, IV
Regional Action Planning Commissions	13, V
Research and Special Programs Administration	49, I
Rural Electrification Administration	7, XVII
Rural Telephone Bank	7, XVI
Saint Elizabeths Hospital	42, III
Saint Lawrence Seaway Development Corporation	33, IV
Science and Technology Policy, Office of	32, XXIV
Science and Technology Policy, Office of, and National Security Council	47, II
Secret Service	31, IV
Securities and Exchange Commission	17, II
Selective Service System	32, XVI
Small Business Administration	13, I; 48, 22
Smithsonian Institution	36, V
Social Security Administration	20, III; 45, IV
Soil Conservation Service	7, VI
Solar Energy and Energy Conservation Bank, Department of HUD	24, XI
Soldiers' and Airmen's Home, United States	5, XI
Special Education and Rehabilitative Services, Office of	34, III
State Department	22, I
Surface Mining and Reclamation Appeals, Board of	30,III
Susquehanna River Basin Commission	18, VIII
Tennessee Valley Authority	18, XIII
Trade Representative, United States, Office of	15, XX
Transportation, Department of	44, IV
Coast Guard	33, I; 46, I, III; 49, IV
Commercial Space Transportation, Office of	14, III
Federal Acquisition Regulation	48, 12
Federal Aviation Administration	14, I
Federal Highway Administration	23, I, II; 49, III
Federal Railroad Administration	49, II
Maritime Administration	46, II
National Highway Traffic Safety Administration	23, II, III; 49, V
Research and Special Programs Administration	49, I
Saint Lawrence Seaway Development Corporation	33, IV
Secretary of Transportation, Office of	14, II; 49, Subtitle A
Urban Mass Transportation Administration	49, VI
Travel Service, United States	15, XII
Treasury Department	
Alcohol, Tobacco and Firearms, Bureau of	27, I
Comptroller of the Currency	12, I
Customs Service, United States	19, I
Engraving and Printing, Bureau of	31, VI
Federal Acquisition Regulation	48, 10
Federal Law Enforcement Training Center	31, VII
Fiscal Service	31, II
Foreign Assets Control, Office of	31, V

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Agency	CFR Title, Subtitle or Chapter
Internal Revenue Service	26, I
Monetary Offices	31, I
Secret Service	31, IV
Secretary of the Treasury, Office of	31, Subtitle A
United States Customs Service	19, I
Truman, Harry S, Scholarship Foundation	45, XVIII
United States and Canada, International Joint Commission	22, IV
United States Arms Control and Disarmament Agency	22, VI
United States Customs Service	19, I
United States Fish and Wildlife Service	50, I, IV
United States Information Agency	22, V; 48, 19
United States International Development Cooperation Agency	22, XII
United States International Trade Commission	19, II
United States Postal Service	39, I
United States Railway Association	49, IX
United States Soldiers' and Airmen's Home	5, XI
United States Trade Representative, Office of	15, XX
United States Travel Service	15, XII
Urban Mass Transportation Administration	49, VI
Veterans Administration	38, I; 48, 8
Vice President of the United States, Office of	32, XXVIII
Vocational and Adult Education, Office of	34, IV
Wage and Hour Division	29, V
Water Resources Council	18, VI
Workers' Compensation Programs, Office of	20, I

Derivation Tables

At 49 FR 20996, May 17, 1984, current GSA information resources provisions were consolidated into a single location as Federal Information Resources Management Regulation (FIRMR) under a new 41 CFR Chapter 201.

For the convenience of the user, the following tables show the relationship of the old FPR/FPMR numbers and new FIRMR numbers.

FIRMR sections	FPR/FPMR sources
201-1.000	1-1.000
	1-1.001
	1-4.1100
	1-4.1200
	1-4.1300 (Temp. Reg. 51)
	1-101-1.100
201-1.101	1-1.002
	1-4.1100
	1-4.1200
	1-4.1300
	101-1.101
	101-1.102
	101-11.302-1
	101-11.900 (Temp. Reg. 8-6/F-500)
	101-35.200
201-1.101-1	1-4.1100-1
	1-4.1200-1
	101-35.200-1.
201-1.101-2	101-1.103
201-1.102	1-1.002
	101-1.105
	101-11.302-2
	101-37.101
201-1.102-1	1-4.1109-1
	101-4.1204
201-1.102-2	1-4.1100-2
	1-4.1200-2
	101-36.001
201-1.102-3	101-11.302-2
	101-11.603-1
201-1.103	1-1.004
	1-4.1101
	1-4.1201
	101-1.106
	101-35.201
	101-37.102
201-1.104	1-1.006
	101-1.104
201-1.104-1	1-1.006-1
	1-1.006-2
	101-1.104-1
	101-1.109
201-1.104-2	1-1.007
	101-1.109
201-1.104-3	1-1.006-3
201-1.201	1[4]
201-1.202	1-4.1104 (Temp. Reg. 64 & 71)
201-1.301	1-1.008
	101-1.108
201-1.302	1-1.008
	101-1.108
201-1.303	1-1.008
	101-1.108
201-1.304	1-1.008
201-1.400	1-1.009
201-1.401	1-1.009-1
201-1.402	1-1.009-3
	1-4.1100-3
	1-4.1200-3
	101-1.110
201-1.403	1-1.009-3
	1-4.1100-3
	1-4.1200-3
	101-1.110
201-1.501	[5]
201-1.502	1-1.006-4
	101-1.107
201-1.503	[5]
201-1.601	1-4.1109
	1-4.1109-1
	1-4.1204
201-1.602	1-4.1100-2
	1-4.1109
	1-4.1109-1
	1-4.1200-2
	1-4.1204
201-1.603	[7]

Notes:
[4] GSA delegations of authority issuances.
[5] Parallels FAR 1.501(a).
[6] Parallels FAR 1.502.
[7] Principle established in § 1-4.1109-1, particularly (d) and § 1-4.1204, particularly (d); also §§ 1-4.1100, 1-4.1200, and 1-1.008.

Distribution Table for Part 201-1

FPR/FPMR sources	FIRMR sections
1-1.000*	201-1.000
1-1.001*	201-1.000
1-1.002*	201-1.101
	201-1.102
1-1.004*	201-1.103
1-1.006*	201-1.104
1-1.006-1*	201-1.104-1
1-1.006-2*	201-1.104-1
1-1.006-3*	201-1.104-3
1-1.006-4*	201-1.502
1-1.007*	201-1.104-2
1-1.008*	201-1.301

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DISTRIBUTION TABLE FOR PART 201-1—Continued

FPR/FPMR sources	FIRMR sections
	201-1.302
	201-1.303
	201-1.304
1-1.009*	201-1.400
1-1.009-1*	201-1.401
1-1.009-3	201-1.402
	201-1.403
1-4.1100	201-1.000
	201-1.101
1-4.1100-1	201-1.101-1
1-4.1100-2	201-1.102-2
	201-1.602
1-4.1100-3	201-1.402
	201-1.403
1-4.1101	201-1.103
1-4.1104 (Temp. Reg. 64 and 71)	201-1.202
1-4.1109	201-1.601
	201-1.602
1-4.1109-1	201-1.102-1
	201-1.601
	201-1.602
1-4.1200	201-1.000
	201-1.101
1-4.1200-1	201-1.101-1
1-4.1200-2	201-1.102-2
	201-1.602
1-4.1200-3	201-1.402
	201-1.403
1-4.1201	201-1.103
1-4.1204	201-1.102-1
	201-1.601

DISTRIBUTION TABLE FOR PART 201-1—Continued

FPR/FPMR sources	FIRMR sections
	201-1.602
1-4.1300 (Temp. Reg. 51)	201-1.000
	201-1.101
101-1.100*	201-1.000
101-1.101*	201-1.101
101-1.102*	201-1.101
101-1.103*	201-1.101-2
101-1.104*	201-1.104
101-1.104-1*	201-1.104-1
101-1.105*	201-1.102
101-1.106*	201-1.103
101-1.107*	201-1.502
101-1.108*	201-1.301
	201-1.302
	201-1.303
101-1.109*	201-1.104-1
	201-1.104-2
101-1.110*	201-1.402
	201-1.403
101-11.302-1	201-1.101
101-11.302-2	201-1.102
	201-1.102-3
101-11.603-1	201-1.102-3
101-11.900 (Temp. Reg. B-8/F-500)	201-1.101
101-35.200	201-1.101
101-35.200-1	201-1.101-1
101-35.201	201-1.103
101-36.001	201-1.102-2
101-37.101	201-1.102
101-37.102	201-1.103

*As it pertains to information resources activities.

Derivation and Distribution Tables

At 50 FR 4322, Jan. 30, 1985, GSA established integrated provisions formerly appearing in the Federal Procurement Regulations (FPR) and the Federal Property Management Regulations (FPMR).

For the convenience of the user, the following derivation and distribution tables show the relationship of FIRMR sections (Chapter 201) to the FPR/FPMR sources (Chapter 1 and Chapter 101).

Derivation Table for Definitions in Part 201-2

FIRMR words and terms in § 201-2.001	FPR/FPMR sources
ADP equipment system	See FPMR Temp. Reg. F-500
ADP fund	101-36.301-13
ADP resource	101-36.201; FPMR Temp. Reg. F-499
ADP resource system	101-36.201; FPMR Temp. Reg. F-499
ADP services	1-4.1202-1 101-35.202-6; FPMR Temp. Reg. F-499
ADP sharing	101-36.201; FPMR Temp. Reg. F-499
ADP simulation	101-36.1401
ADP support services	1-4.1202-2 101-35.202-7; FPMR Temp. Reg. F-499
ADP system security	101-35.302
ADP unit	101-36.201; FPMR Temp. Reg. F-499
Agency, as used in Subpart 201-6.1	101-35.1702
Agency controls, as used in Part 201-7.	101-35.302
Agency procurement request (APR)	1-4.1102-14
Analog computer	See FPMR Temp. Reg. F-500
Automatic data processing equipment (ADPE).	1-4.1102-1; FPR Temp. Reg. 71 101-35.202-1; FPMR Temp. Reg. F-500 101-36.301-1
Automatic release date (ARD)	101-36.301-8
Availability list	101-36.301-9
Cannibalization	101-36.301-16
Collocation	101-36.902-1
Commercial ADP services	1-4.1202-3 101-35.202-8; FPMR Temp. Reg. F-499

Derivation Table for Definitions in Part 201-2—Continued

FIRMR words and terms in § 201-2.001	FPR/FPMR sources
Commercial ADP services and support services subject to the Privacy Act.	1-4.1202-4
Commercial ADP support services	1-4.1202-3 101-35.202-8; FPMR Temp. Reg. F-499
Comparative cost analysis for purposes of telecommunication acquisitions.	1-4.1301-5; FPR Temp. Reg. 51, Supp. 2
Competitive requirement	1-4.1102-7
Compiler	101-36.1303-6
Computer performance evaluation	101-36.1401
Condition codes	101-36.301-1
Consensual, as used in Subpart 201-6.2.	101-37.311-1
Consolidation	101-36.902-2
Data, facsimile, and record telecommunication services.	101-37.201-5
Data processing facility	101-36.201; FPMR Temp. Reg. F-499 101-36.701 101-36.902-4
Data processing facility environment	101-36.701
Data processing facility security	101-36.701
Data processing facility subject to OMB Circular A-121.	101-36.201; FPMR Temp. Reg. F-499
Dedicated teleprocessing system	1-4.1202-7
Determination, as used in Subpart 201-6.2.	101-37.311-1
Digital computer	See FPMR Temp. Reg. F-500
Electronic features	101-37.308
Electronic switching system (ESS)	101-37.308
Emergency traffic	101-37.702
Equipment performance specification for an ADP system.	1-4.1102-13
Essential traffic	101-37.702
Evaluated optional features	1-4.1102-16
Excess	101-36.301-4
Exchange/sale ADPE	101-36.301-6
Federal agency	1-4.1102-18 101-35.202-9 101-36.201

Derivation Table for Definitions in Part 201-2—Continued

FIRMR words and terms in § 201-2.001	FPR/FPMR sources
Federal agency for purposes of Part 201-33.	101-36.301-2
Federal Data Processing Center (FDPC).	101-36.801-1
Firmware	1-4.1102-3
	101-35.202-3
Full cost for purposes of OMB Circular A-121.	101-36.201; FPMR Temp. Reg. F-499
Functional specification	1-4.1102-12
Functional telecommunication system specification.	1-4.1301-1; FPR Temp. Reg. 51
General management computer for purposes of OMB Circular A-121.	101-36.201; FPMR Temp. Reg. F-499
Government contractor, as used in Subpart 201-6.1.	101-35.1702
Grants	101-36.301-19
Hold	101-36.301-11
Holding agency	101-36.301-3
Hybrid computer	See FPMR Temp. Reg. F-500
Individual, as used in Subpart 201-6.1.	101-35.1702
Information processing resource	See FPMR Temp. Reg. F-500
Intercity data, facsimile, and record telecommunication services.	101-37.201-5
Joint utilization	101-36.902-3
Listening-in devices, as used in Subpart 201-6.2.	101-37.311-1
Local data, facsimile, and record telecommunication services.	101-37.201-5
Local dialing area	101-37.201-5
Lowest overall cost	1-4.1102-10
Lowest overall cost for purposes of telecommunication acquisitions.	1-4.1301-4; FPR Temp. Reg. 51
Mailing list	101-36.301-9a
Maintain, as used in Subpart 201-6.1.	101-35.1702
Maintenance services	1-4.1102-4
	101-35.202-4
Mandatory requirements	1-4.1102-15
Maximum practicable competition	1-4.1102-9
Minimize	101-37.702
Noncompetitive (sole source) requirement.	1-4.1102-8
Nonconsensual, as used in Subpart 201-6.2.	101-37.311-1
Physical security	101-35.302
	101-36.701
Project grants	101-36.301-18
Reassignment	101-36.301-7
Record, as used in Subpart 201-6.1.	101-35.1702
Related ADPE supplies	1-4.1102-5
	101-35.202-5
Remote terminal emulation terms	1-4.1102-6
(a) System under test (SUT)	
(b) Internal emulation	
(c) Remote terminal emulation	
(d) Driver	
(e) Monitor	
(f) Remote terminal emulator (RTE)	
Reutilization	101-36.301-15
Rules of conduct, as used in Subpart 201-6.1.	101-35.1702
Safeguards, as used in Subpart 201-6.1.	1-4.1202-6
	101-35.1702

Derivation Table for Definitions in Part 201-2—Continued

FIRMR words and terms in § 201-2.001	FPR/FPMR sources
Security specifications, as used in Part 201-7.	101-35.302
Selection plan	1-4.1102-17
	1-4.1301-2; FPR Temp. Reg. 51
Sensitive application system, as used in Part 201-7.	101-35.302
Sensitive data, as used in Part 201-7	101-35.302
Software terms	1-4.1102-2
	101-35.202-2
	101-36.1602
(a) Software	
(b) Commercially available software	
(c) Application software	
(d) Computer data base	
(e) Computer software documentation	
(f) Software conversion	
(g) Software redesign	
(h) Reprogramming	
(i) Recording	
(j) Automated translation	
(k) Common-use software	
(l) Federal Software Exchange Center (FSEC)	
(m) Computer program	
Standard terminology	101-36.1303-1
Surplus	101-36.301-5
System/item life	1-4.1102-11
	1-4.1301-3; FPR Temp. Reg. 51
System of records on individuals, as used in Subpart 201-6.1.	101-35.1702
Telecommunication facilities	101-37.105-1
Telecommunication services	101-37.105-1
Threats and hazards, as used in Subpart 201-6.1.	1-4.1202-5
	101-35.1702
Transfer	101-36.301-14
User	101-36.201; FPMR Temp. Reg. F-499
Validation of compilers	101-36.1303-7
Want list	101-36.301-10
Withdrawal	101-36.301-12

Derivation Table for Part 201-6

FIRMR sections	FPR/FPMR sources
201-6.000	101-35.1700
	101-37.311
201-6.001	101-35.1702
	101-37.311-1
201-6.101	101-35.1701
201-6.102	101-35.1700
	101-35.1703
201-6.103	101-35.1704
201-6.103-1	101-35.1704-1
201-6.103-2	101-35.1704-2
201-6.104	1-4.1200-3
201-6.201	101-37.311
201-6.202	101-37.311
201-6.202-1	101-37.311-2
201-6.202-2	101-37.311-3
201-6.203	101-37.311-4

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DERIVATION TABLE FOR PART 201-6—Continued

FIRMR sections	FPR/FPMR sources
201-6.204	101-37.311-5

DERIVATION TABLE FOR PART 201-7

FIRMR sections	FPR/FPMR sources
201-7.000	101-35.300
	101-36.700
201-7.001	101-35.302
201-7.101	101-35.301
201-7.102	101-35.303
201-7.103	101-35.304
201-7.103-1	101-35.304-1
201-7.103-2	101-35.304-2
201-7.104	101-35.305
201-7.105	101-35.306
201-7.106	101-35.307
201-7.107	101-35.308
201-7.201	101-36.702
201-7.202	101-36.703
201-7.203	101-36.704
201-7.204	101-36.705
201-7.205	101-36.706

In this derivation table for Part 201-8, the asterisk (*) means § 101-29.303 prior to Amendment E-252 dated March 25, 1983.

DERIVATION TABLE FOR PART 201-8

FIRMR sections	FPR/FPMR sources
201-8.000	None
201-8.100	101-36.1300
201-8.100-1	None
201-8.101	101-36.1301
201-8.101-1	None
201-8.101-2	None
201-8.101-3	101-29.303*
201-8.102	101-36.1302
201-8.102-1	101-36.1302-1
201-8.102-2	101-36.1302-2
201-8.102-3	101-36.1302-3
201-8.103	101-36.1303
201-8.103-1	101-36.1303-2
201-8.103-2	101-36.1303-3
201-8.103-3	101-36.1303-4
201-8.103-4	101-36.1303-5
201-8.104	1-4.1109-25
201-8.105	101-36.1304
201-8.105-1	101-36.1304-1
201-8.105-2	101-36.1304-2
201-8.105-3	101-36.1304-3
201-8.105-4	101-36.1304-4
201-8.105-5	101-36.1304-5
201-8.105-6	101-36.1304-6
201-8.105-7	101-36.1304-7
201-8.105-8	101-36.1304-8
201-8.105-9	101-36.1304-9
201-8.105-10	101-36.1304-10

DERIVATION TABLE FOR PART 201-8—Continued

FIRMR sections	FPR/FPMR sources
201-8.105-11	101-36.1304-11
201-8.105-12	101-36.1304-12
201-8.105-13	101-36.1304-13
201-8.105-14	101-36.1304-14
201-8.105-15	101-36.1304-15
201-8.105-16	101-36.1304-16
201-8.105-17	101-36.1304-17
201-8.105-18	101-36.1304-18
201-8.105-19	101-36.1304-19
201-8.105-20	101-36.1304-20; Temp. Reg. 2
201-8.105-21	101-36.1304-21
201-8.105-22	101-36.1304-22
201-8.105-23	101-36.1304-23; Temp. Reg. 2
201-8.105-24	101-36.1304-27
201-8.105-28	101-36.1304-28
201-8.105-29	101-36.1304-29
201-8.105-30	101-36.1304-30
201-8.105-31	101-36.1304-31
201-8.105-32	101-36.1304-32
201-8.105-33	101-36.1304-33
201-8.105-34	See Temp. Reg. 2
201-8.106	101-36.1305
201-8.106-2	101-36.1305-2
201-8.106-3	101-36.1305-3
201-8.106-4	101-36.1305-4
201-8.106-5	101-36.1305-5
201-8.106-6	See Temp. Reg. 2
201-8.107	101-36.1310
201-8.107-1	101-36.1310-1
201-8.107-2	101-36.1310-2
201-8.107-3	101-36.1310-3
201-8.108	101-36.1310-4
201-8.109	101-36.1311
201-8.110	101-36.1307
201-8.110-1	101-36.1307-1
201-8.111	101-36.1306
201-8.112	101-36.1308
201-8.112-1	101-36.1308-1
201-8.112-4	101-36.1308-4
201-8.112-5	101-36.1308-5
201-8.112-6	101-36.1308-6
201-8.112-7	101-36.1308-7
201-8.112-11	101-36.1308-15
201-8.112-13	101-36.1308-17
201-8.112-14	101-36.1308-18
201-8.112-16	101-36.1308-20
201-8.112-17	101-36.1308-21
201-8.112-18	101-36.1308-22
201-8.113	101-36.1309
201-8.113-1	101-36.1309-1
201-8.113-2	101-36.1309-2
201-8.113-3	101-36.1309-3
201-8.113-4	101-36.1309-4
201-8.113-5	101-36.1309-5
201-8.113-6	101-36.1309-6
201-8.113-7	See Temp. Reg. 2

DERIVATION TABLE FOR PART 201-11

FIRMR sections	FPR/FPMR sources
201-11.000	None
201-11.001	None

Derivation Table for Part 201-11—Continued

FIRMR sections	FPR/FPMR sources
201-11.001-1	None
201-11.002	None
201-11.002-1	1-4.1103-1
	1-4.1206
	1-4.1206-1
	101-35.203-1
	101-35.203-2
201-11.002-2	1-4.1109-2
	1-4.1206-5
201-11.003	None
201-11.003-1	1-4.1302-2; FPR Temp. Reg. 51
201-11.003-2	1-4.1302-2; FPR Temp. Reg. 51

Derivation Table for Part 201-16

FIRMR sections	FPR/FPMR sources
201-16.000	None
201-16.001	None
201-16.002	101-35.204
	See Temp. Reg. F-499
	See Temp. Reg. F-500

Derivation Table for Part 201-20

FIRMR sections	FPR/FPMR sources
201-20.000	None
201-20.001	None
201-20.002	101-35.203-3
201-20.003	1-4.1103-2
	101-35.203-4
201-20.004	101-35.203-8
201-20.005	101-35.203-9
201-20.006	101-35.203-7; FPMR Temp. Reg. F-499
201-20.007	101-35.203-6
201-20.008	101-36.1001
201-20.011	None
201-20.011-1	None
201-20.011-2	None
201-20.011-3	1-4.1211
201-20.011-4	1-4.1213
201-20.011-5	1-4.1212
201-20.012	None
201-20.012-1	None
201-20.012-2	None
201-20.012-3	1-4.1210
201-20.012-4	None
201-20.013	None
201-20.014	101-35.212

Derivation Table for Part 201-21

FIRMR sections	FPR/FPMR sources
201-21.000	None
201-21.001	101-37.302(e)
201-21.002	None
201-21.003	101-37.307
201-21.003-1	101-37.307-1
201-21.003-2	101-37.307-2
201-21.003-3	101-37.308
201-21.004	None
201-21.005	101-37.112
201-21.006	None
201-21.007	None
201-21.011	101-37.103
	101-37.104
201-21.012	101-37.110
	101-37.402
	101-37.402-1
201-21.012-1	101-37.402-2
201-21.012-2	101-37.402-3
201-21.012-3	101-37.402-4
201-21.013	101-37.107
201-21.014	101-37.105-2
	101-37.105-3
	101-37.106
201-21.015	101-37.110
201-21.015-1	101-37.403
201-21.015-2	101-37.404
201-21.016	None
201-21.017	101-37.111
	101-37.405

Derivation Table for Part 201-23

FIRMR sections	FPR/FPMR sources
201-23.000	None
201-23.102	1-4.1104; FPR Temp. Reg. 71
201-23.103	1-4.1104; FPR Temp. Reg. 71
	1-4.1203
201-23.104	1-4.1104
	1-4.1203
201-23.104-1	1-4.1104-1; FPR Temp. Reg. 71
201-23.104-2	1-4.1104-2; FPR Temp. Reg. 71
201-23.104-3	1-4.1104-3; FPR Temp. Reg. 71
201-23.104-4	1-4.1104-4
201-23.104-5	1-4.1203
	See FPR Temp. Reg. 71
	See Temp. Reg. 1
201-23.104-6	1-4.1203
201-23.105	1-4.1104; FPR Temp. Reg. 71
201-23.106	1-4.1105; FPR Temp. Reg. 64
201-23.106-1	1-4.1105
	1-4.1203-1
201-23.106-2	See FPR Temp. Reg. 64
201-23.107	1-4.1106
	See FPR Temp. Reg. 64
	1-4.1203
201-23.111	None

DERIVATION TABLE FOR PART 201-23—Continued

FIRMR sections	FPR/FPMR sources
201-23.111-1	1-4.1106-1
201-23.111-2	1-4.1106-2
201-23.112	1-4.1107
201-23.112-1	1-4.1107; FPR Temp. Reg. 64
201-23.112-2	1-4.1107-1; FPR Temp. Reg. 64
201-23.201	1-4.1104-5
201-23.202	None
201-23.203	None

DERIVATION TABLE FOR PART 201-24

FIRMR sections	FPR/FPMR sources
201-24.000	None
201-24.100	None
201-24.101	None
201-24.102	None
201-24.103	1-4.1103-5
	1-4.1206-8
201-24.104	1-4.1205; Temp. Reg. 1
201-24.105	1-4.1103-4
201-24.106	1-4.1103-3
	101-35.203-5
201-24.200	None
201-24.201	None
201-24.202	1-4.1109-18
	101-35.203-10
	101-35.207-1
201-24.203	1-4.1109-18
	101-35.203-10
201-24.204	1-4.1109-19
201-24.205	1-4.1109-16
201-24.206	None
201-24.207	1-4.1109-12
	1-4.1206-4
201-24.208	101-35.210 See FPMR Temp. Reg. F-500
201-24.208-1	None
201-24.209	1-4.1206-3
201-24.210	1-4.1206-6
201-24.211	1-4.1109-10
201-24.212	1-4.1109-11
201-24.213	1-4.1109-21
201-24.214	1-4.1109-23
	1-4.1206-7
201-24.215	1-4.1109-22
201-24.216	1-4.1103-6; FPR Temp. Reg. 71
201-24.300	None
201-24.301	None
201-24.302	None
201-24.303	None
201-24.304	1-4.1302-2; FPR Temp. Reg. 51
201-24.305	1-4.1301-5; FPR Temp. Reg. 51, Supp.2

DERIVATION TABLE FOR PART 201-30

FIRMR sections	FPR/FPMR sources
201-30.000	None
201-30.001	None
201-30.002	None
201-30.003	None
201-30.004	None
201-30.005	None
201-30.006	None
201-30.007	101-35.207; FPMR Temp. Reg. F-500
201-30.007-1	101-35.207-2; FPMR Temp. Reg. F-500
201-30.008	101-35.208 See FPMR Temp. Reg. F-500
201-30.009	101-35.209; FPMR Temp. Reg. F-500
201-30.009-1	101-35.209; FPMR Temp. Reg. F-500
201-30.010	None
201-30.011	None
201-30.012	101-35.206
	101-35.206-1
201-30.012-1	1-4.1109-13
	1-4.1206-2
	101-35.206-2
201-30.012-2	1-4.1109-14
201-30.013	101-35.205
201-30.014	None
201-30.015	None
201-30.016	None
201-30.017	None
201-30.018	None
201-30.018-1	1-4.1212
201-30.018-2	1-4.1211
201-30.018-3	1-4.1213

DERIVATION TABLE FOR PART 201-31

FIRMR sections	FPR/FPMR sources
201-31.000	None
201-31.001	None
201-31.002	101-36.202; FPMR Temp. Reg. F-499
201-31.003	101-36.203; FPMR Temp. Reg. F-499
201-31.004	101-36.203-1; FPMR Temp. Reg. F-499
201-31.005	101-36.203-3; FPMR Temp. Reg. F-499
201-31.006	101-36.203-4 and 101-36.4701; FPMR Temp. Reg. F-499
201-31.010	101-36.8
201-31.010-1	101-36.802; FPMR Temp. Reg. F-499

Derivation Table for Part 201-31—Continued

FIRMR sections	FPR/FPMR sources
201-31.010-2	101-36.903; FPMR Temp. Reg. F-499
201-31.010-3	101-36.804; FPMR Temp. Reg. F-499
	101-36.804
201-31.010-4	101-36.805
201-31.012	101-36.9
201-31.012-1	101-36.903
201-31.012-2	101-36.904
201-31.012-3	101-36.905
	101-36.905-1
	101-36.905-2
	101-36.905-3
	101-36.905-4
	101-36.905-5
201-31.012-4	101-36.906
201-31.012-5	101-36.907
201-31.012-6	101-36.908
201-31.014	101-36.1600
201-31.014-1	101-36.1601
	101-36.1603
201-31.014-2	101-36.1604
201-31.014-3	101-36.1605
201-31.014-4	101-36.1606
201-31.014-5	101-36.1607
201-31.014-6	101-36.1608
201-31.014-7	101-36.1609
201-31.014-8	101-36.1610
201-31.014-9	101-36.1611
201-31.014-10	101-36.1612
201-31.014-11	101-36.1613

Derivation Table for Part 201-32

FIRMR sections	FPR/FPMR sources
201-32.000	1-4.1100
	1-4.1200
201-32.100	None
201-32.101	None
201-32.102	101-35.211
201-32.103	1-4.1108
201-32.104	1-4.1109-20
	1-4.1206-9
201-32.105	1-4.1206-10
201-32.106	1-4.1109-3
201-32.107	1-4.1109-8
201-32.108	1-4.1109-24
201-32.200	None
201-32.203	1-4.1109-15
201-32.204	1-4.1111
201-32.205	1-4.1110
201-32.205-1	1-4.1110-1
201-32.205-2	1-4.1110-2
201-32.205-3	1-4.1110-3
201-32.205-4	1-4.1110-3
201-32.205-5	1-4.1110-3
201-32.206	1-4.1109-6
	1-4.1109-6; FPR Temp. Reg. 71
201-32.207	1-4.1109-7
201-32.208	1-4.1109-17
201-32.300	None

Derivation Table for Part 201-32—Continued

FIRMR sections	FPR/FPMR sources
201-32.301	None
201-32.302	1-4.1200-3
	1-4.1208
201-32.302-1	1-4.1208-1
201-32.302-2	1-4.1208-2
	1-4.1208-2; Temp. Reg. 1
201-32.303	1-4.1209
	1-4.1209; Temp. Reg. 1
201-32.303-1	1-4.1209-1
201-32.303-2	1-4.1209-2
	1-4.1209-2; Temp. Reg. 1
201-32.303-3	1-4.1209-3; Temp. Reg. 1
201-32.303-4	1-4.1209-4
201-32.304	1-4.1210

Derivation Table for Part 201-33

FIRMR sections	FPR/FPMR sources
201-33.000	None
201-33.001	101-36.300
201-33.002	101-36.302
201-33.003	101-36.303
201-33.003-1	101-36.303-1
201-33.003-2	101-36.303-2
201-33.003-3	101-36.303-3
201-33.004	101-36.304
201-33.005	101-36.305
201-33.006	101-36.306
201-33.007	101-36.307
201-33.008	101-36.308
201-33.009	101-36.309
201-33.009-1	101-36.309-1
201-33.009-2	101-36.309-2
201-33.009-3	101-36.309-3
201-33.009-4	101-36.309-4
201-33.009-5	101-36.309-5
201-33.010	101-36.310
201-33.010-1	101-36.310-1
201-33.010-2	101-36.310-2
201-33.010-3	101-36.310-3
201-33.011	101-36.4702
201-33.011-1	101-36.4702-1
201-33.011-2	101-36.4702-2
201-33.011-3	101-36.4702-3
201-33.011-4	101-36.4702-4

Derivation Table for Part 201-34

FIRMR sections	FPR/FPMR sources
201-34.000	None
201-34.002	101-36.14
201-34.002-1	101-36.1402
	101-36.1402-1
	101-36.1402-3
	101-36.1403
	101-36.1404

DERIVATION TABLE FOR PART 201-34—Continued

FIRMR sections	FPR/FPMR sources
201-34.002-2	101-36.1402-2
201-34.004	None
201-34.006	101-36.1200
	101-36.1201
	101-36.1202
201-34.006-1	101-36.1203
201-34.006-2	101-36.1204
201-34.006-3	101-36.1205
201-34.006-4	101-36.1206
201-34.006-5	101-36.1207

DERIVATION TABLE FOR PART 201-38

FIRMR sections	FPR/FPMR sources
201-38.000	None
201-38.001	None
201-38.002	None
201-38.003	None
201-38.004	None
201-38.005	None
201-38.006	None
201-38.007	101-37.105-4
201-38.008	101-37.312
201-38.008-1	101-37.312-1
201-38.008-2	101-37.312-2
201-38.009	101-37.313
201-38.010	See FPMR Temp. Reg. F-502
201-38.011	101-37.307, 101-37.307-2
201-38.011-1	101-37.306
201-38.014	None
201-38.014-1	1-4.1302; FPR Temp. Reg. 51
201-38.014-2	1-4.1302-1; FPR Temp. Reg. 51
201-38.014-3	1-4.1302-2; FPR Temp. Reg. 51
201-38.015	None
201-38.016	None
201-38.017	1-4.1306; FPR Temp. Reg. 51

DERIVATION TABLE FOR PART 201-39

FIRMR sections	FPR/FPMR sources
201-39.000	None
201-39.001	101-37.201
	101-37.205
201-39.002	101-37.202
201-39.002-1	101-37.202(a) (1) and (3) thru (11)
201-39.002-2	101-37.202(b)
201-39.002-3	101-37.202(c), FPMR Temp. Reg. F-502
201-39.002-4	101-37.202(e)
201-39.002-5	101-37.202(f)
201-39.002-6	101-37.202(g)
201-39.002-7	101-37.202(a)(2)

DERIVATION TABLE FOR PART 201-39—Continued

FIRMR sections	FPR/FPMR sources
201-39.006	101-37.201-1
	101-37.201-2
	101-37.203
	101-37.210
201-39.006-1	101-37.203(a)
201-39.006-2	101-37.203(b)
201-39.006-3	101-37.204-2
201-39.006-4	101-37.203(c), FPMR Temp. Reg. F-502
201-39.006-5	See Temp. Reg. F-502
201-39.006-6	101-37.202(a)(2)
	101-37.203(e)
201-39.007	None
201-39.007-1	101-37.201-1
201-39.007-2	101-37.201-2
	101-37.204-1
	101-37.205
201-39.007-3	See Temp. Reg. F-502

DERIVATION TABLE FOR PART 201-40

FIRMR sections	FPR/FPMR sources
201-40.000	None
201-40.001	None
201-40.002	None
201-40.002-1	1-4.1304-1; FPR Temp. Reg. 51
201-40.003	1-4.1206
201-40.004	None
201-40.005	None
201-40.006	1-4.1303; FPR Temp. Reg. 51
201-40.007	1-4.1303; FPR Temp. Reg. 51
201-40.007-1	1-4.1303; FPR Temp. Reg. 51
201-40.008	1-4.1305; FPR Temp. Reg. 51

DERIVATION TABLE FOR Part 201-41

FIRMR sections	FPR/FPMR sources
201-41.000	None
201-41.001	101-37.301
	101-37.302
201-41.002	101-37.303
201-41.003	101-37.305
	101-37.306
201-41.004	101-37.310
201-41.005	101-37.309
201-41.005-1	101-37.309-1
201-41.005-2	101-37.309-2
201-41.006	101-37.501
201-41.007	101-37.304
	101-37.501
	101-37.502
	101-37.503

DERIVATION TABLE FOR Part 201-41—Continued

FIRMR sections	FPR/FPMR sources
	101-37.504
	101-37.506
201-41.008	101-37.7
201-41.008-1	101-37.700
	101-37.701
201-41.008-2	101-37.703
	101-37.703-1
	101-37.703-2
	101-37.703-3
201-41.008-3	101-37.704
	101-37.704-1
	101-37.704-2
	101-37.704-3
201-41.009	101-37.8
201-41.009-1	101-37.800
201-41.009-2	101-37.801-1
	101-37.801-2
	101-37.801-3
	101-37.801-4
201-41.009-3	101-37.802
	101-37.802-1
	101-38.802-2
201-41.009-4	101-37.803
201-41.010	101-37.6
201-41.010-1	101-37.601
201-41.010-2	101-37.603
201-41.010-3	101-37.604
201-41.010-4	101-37.605

In this distribution table, one asterisk (*) means as it pertains to information resources activities and two asterisks (**) means § 101-29.303 prior to Amendment E-252 dated March 25, 1983.

DISTRIBUTION TABLE FOR CHAPTER 201

FPR/FPMR sources	FIRMR sections
1-1.000*	201-1.000
1-1.001*	201-1.000
1-1.002*	201-1.101
	201-1.102
1-1.004*	201-1.103
1-1.006*	201-1.104
1-1.006-1*	201-1.104-1
1-1.006-2*	201-1.104-1
1-1.006-3*	201-1.104-3
1-1.006-4*	201-1.502
1-1.007*	201-1.104-2
1-1.008*	201-1.301
	201-1.302
	201-1.303
	201-1.304
1-1.009*	201-1.400
1-1.009-1*	201-1.401
1-1.009-3	201-1.402
	201-1.403
1-4.1100	201-1.000
	201-1.101
	201-32.000
1-4.1100-1	201-1.101-1
1-4.1100-2	201-1.102-2
	201-1.602
1-4.1100-3	201-1.402

DISTRIBUTION TABLE FOR CHAPTER 201—Continued

FPR/FPMR sources	FIRMR sections
	201-1.403
1-4.1101	201-1.103
1-4.1102-1	201-2.001
1-4.1102-2	201-2.001
1-4.1102-3	201-2.001
1-4.1102-4	201-2.001
1-4.1102-5	201-2.001
1-4.1102-6	201-2.001
1-4.1102-7	201-2.001
1-4.1102-8	201-2.001
1-4.1102-9	201-2.001
1-4.1102-10	201-2.001
1-4.1102-11	201-2.001
1-4.1102-12	201-2.001
1-4.1102-13	201-2.001
1-4.1102-14	201-2.001
1-4.1102-15	201-2.001
1-4.1102-16	201-2.001
1-4.1102-17	201-2.001
1-4.1102-18	201-2.001
1-4.1103-1	201-11.002-1
1-4.1103-2	201-20.003
1-4.1103-3	201-24.106
1-4.1103-4	201-24.105
1-4.1103-5	201-24.103
1-4.1103-6	201-24.216
1-4.1104	201-23.102
	201-23.103
	201-23.104
	201-23.105
1-4.1104-1	201-23.104-1
1-4.1104-2	201-23.104-2
1-4.1104-3	201-23.104-3
1-4.1104-4	201-23.104-4
1-4.1104-5	201-23.201
1-4.1104-6	201-23.104-6
1-4.1105	201-23.106
	201-23.106-1
1-4.1106	201-23.107
1-4.1106-1	201-23.111-1
1-4.1106-2	201-23.111-2
1-4.1107	201-23.112
	201-23.112-1
1-4.1107-1	201-23.112-2
1-4.1108	201-32.103
1-4.1109	201-1.601
	201-1.602
1-4.1109-1	201-1.102-1
	201-1.601
	201-1.602
1-4.1109-2	201-11.002-2
1-4.1109-3	201-32.106
1-4.1109-6	201-32.206
1-4.1109-7	201-32.207
1-4.1109-8	201-32.107
1-4.1109-10	201-24.211
1-4.1109-11	201-24.212
1-4.1109-12	201-24.207
1-4.1109-13	201-30.012-1
1-4.1109-14	201-30.012-2
1-4.1109-15	201-32.203
1-4.1109-16	201-24.205
1-4.1109-17	201-32.208
1-4.1109-18	201-24.202
	201-24.203
1-4.1109-19	201-24.204
1-4.1109-20	201-32.104
1-4.1109-21	201-24.213
1-4.1109-22	201-24.215

DISTRIBUTION TABLE FOR CHAPTER 201—Continued

FPR/FPMR sources	FIRMR sections
1-4.1109-23	201-24.214
1-4.1109-24	201-32.108
1-4.1109-25	201-8.104
1-4.1110	201-32.205
1-4.1110-1	201-32.205-1
1-4.1110-2	201-32.205-2
1-4.1110-3	201-32.205-3
	201-32.205-4
	201-32.205-5
1-4.1111	201-1.000
	201-1.101
	201-32.204
1-4.1200	201-32.000
	201-1.000
	201-1.101
1-4.1200-1	201-1.101-1
1-4.1200-2	201-1.102-2
	201-1.602
1-4.1200-3	201-6.104
	201-32.302
1-4.1200-4	201-1.402
	201-1.403
1-4.1201	201-1.103
1-4.1202-1	201-2.001
1-4.1202-2	201-2.001
1-4.1202-3	201-2.001
1-4.1202-4	201-2.001
1-4.1202-5	201-2.001
1-4.1202-6	201-2.001
1-4.1202-7	201-2.001
1-4.1203	201-23.103
	201-23.104
	201-23.104-5
	201-23.104-6
	201-23.107
1-4.1203-1	201-23.106-1
1-4.1204	201-1.102-1
	201-1.601
	201-1.602
1-4.1205	201-24.104
1-4.1206	201-11.002-1
1-4.1206-1	201-11.002-1
1-4.1206-2	201-30.012-1
1-4.1206-3	201-24.209
1-4.1206-4	201-24.207
1-4.1206-5	201-11.002-2
1-4.1206-6	201-24.210
1-4.1206-7	201-24.214
1-4.1206-8	201-24.103
1-4.1206-9	201-32.104
1-4.1206-10	201-32.105
1-4.1208	201-32.302
	201-40.003
1-4.1208-1	201-32.302-1
1-4.1208-2	201-32.302-2
1-4.1209	201-32.303
1-4.1209-1	201-32.303-1
1-4.1209-2	201-32.303-2
1-4.1209-3	201-32.303-3
1-4.1209-4	201-32.303-4
1-4.1210	201-20.012-3
	201-32.304
1-4.1211	201-20.011-3
	201-30.018-2
1-4.1212	201-20.011-5
	201-30.018-1
1-4.1213	201-20.011-4
	201-30.018-3
1-4.1301-1	201-2.001

DISTRIBUTION TABLE FOR CHAPTER 201—Continued

FPR/FPMR sources	FIRMR sections
1-4.1301-2	201-2.001
1-4.1301-3	201-2.001
1-4.1301-4	201-2.001
1-4.1301-5	201-2.001
	201-24.305
1-4.1302	201-38.014-1
1-4.1302-1	201-38.014-2
1-4.1302-2	201-11.003-1
	201-11.003-2
	201-24.304
	201-38.014-3
1-4.1303	201-40.006
	201-40.007
	201-40.007-1
1-4.1304-1	201-40.002-1
1-4.1304-2	201-40.002-1
1-4.1305	201-40.008
1-4.1306	201-38.017
101-1.100 *	201-1.000
101-1.101 *	201-1.101
101-1.102 *	201-1.101
101-1.103 *	201-1.101-2
101-1.104 *	201-1.104
101-1.104-1 *	201-1.104-1
101-1.105 *	201-1.102
101-1.106 *	201-1.103
101-1.107 *	201-1.502
101-1.108 *	201-1.301
	201-1.302
	201-1.303
101-1.109 *	201-1.104-1
	201-1.104-2
101-1.110 *	201-1.402
	201-1.403
101-11.000	201-22.000
101-11.101	201-22.001
101-11.101-1	201-22.001-1
101-11.101-2	201-22.001-2
101-11.101-3	201-22.001-3
101-11.101-4	201-22.001-4
101-11.101-5	201-22.003-1
101-11.102	201-22.002
101-11.102-1	201-22.002-1
101-11.102-2	201-22.002-2
101-11.102-3	201-22.002-3
101-11.102-4	201-22.002-4
101-11.102-5	NARA
101-11.102-6	201-22.002-5
101-11.103	201-22.003
101-11.103-1	201-22.001-4
101-11.103-2	201-22.003-1
101-11.103-3	201-22.003-2
101-11.103-4	201-22.003-3
101-11.104	201-22.001-4
101-11.200	201-45.100
101-11.201	201-45.101
101-11.201-1	201-45.101-1
101-11.202	NARA
101-11.202-1	NARA
101-11.202-2	NARA
101-11.203	NARA
101-11.203-1	NARA
101-11.203-2	NARA
101-11.204	Deleted
101-11.205	Deleted
101-11.206	201-45.102
101-11.206-1	201-45.102-1
101-11.206-2	201-2.001
101-11.206-3	201-45.102-2

DISTRIBUTION TABLE FOR CHAPTER 201—Continued

FPR/FPMR sources	FIRMR sections
101-11.206-4	201-45.102-3
101-11.207	201-45.103
101-11.207-1	201-45.103-1
101-11.207-2	201-2.001
101-11.207-3	201-45.103-2
101-11.207-4	201-45.103-3
101-11.208	201-45.104
101-11.208-1	201-45.104-3
101-11.208-2	201-2.001
101-11.208-3	201-45.104-4
101-11.208-4	201-45.104-4
101-11.209	201-45.105
101-11.209-1	201-45.105-1
101-11.209-2	201-22.001-4
101-11.209-3	201-2.001
101-11.209-4	201-45.105-3
101-11.209-5	201-45.105-4
101-11.209-6	201-45.105-5
101-11.210	Deleted
101-11.301	Deleted
101-11.302	201-45.106
101-11.302-1	201-1.101
101-11.302-1	201-45.106-1
101-11.302-2	201-1.102
	201-1.102-3
101-11.302-2	201-45.106-2
101-11.302-3	201-2.001
101-11.302-4	201-22.106-3
101-11.302-5	201-45.106-4
101-11.303	None
101-11.304	201-45.107
101-11.304-1	201-45.107-1
101-11.304-2	201-2.001
101-11.304-3	201-45.107-2
101-11.304-4	201-45.107-3
101-11.305	201-45.108
101-11.305-1	201-45.108-1
101-11.305-2	201-2.001
101-11.305-3	201-45.108-2
101-11.305-4	201-45.108-2
101-11.306	201-45.110
101-11.306-1	201-45.110-1
101-11.306-2	201-2.001
101-11.306-3	201-45.110-2
101-11.306-4	201-45.110-2
101-11.320	NARA
101-11.321	NARA
101-11.322	NARA
101-11.323	NARA
101-11.324	NARA
101-11.325	NARA
101-11.326	NARA
101-11.327	NARA
101-11.328	NARA
101-11.329	NARA
101-11.401	NARA
101-11.402	NARA
101-11.403	NARA
101-11.404	NARA
101-11.405	NARA
101-11.406	NARA
101-11.407	NARA
101-11.408	NARA
101-11.409	NARA
101-11.410	NARA
101-11.411	NARA
101-11.412	NARA
101-11.500	201-45.109-1
101-11.501	201-22.001-4

DISTRIBUTION TABLE FOR CHAPTER 201—Continued

FPR/FPMR sources	FIRMR sections
101-11.502	201-2.001
101-11.503	201-45.109-2
101-11.504	201-45.109-3
101-11.505	201-45.109-4
101-11.506	NARA
101-11.507	NARA
101-11.508	NARA
101-11.509	NARA
101-11.510	NARA
101-11.601	Deleted
101-11.602	Deleted
101-11.603	201-45.401
101-11.603-1	201-1.102-3
101-11.603-1	201-45.401-1
101-11.603-2	201-2.001
101-11.603-3	201-45.401-2
101-11.603-4	201-45.401-3
101-11.603-5	201-45.401-4
101-11.603-6	201-45.401-5
101-11.603-7	201-45.401-6
101-11.603-8	201-45.401-7
101-11.603-9	201-45.401-8
101-11.603-10	201-45.401-9
101-11.603-11	201-45.401-9
101-11.603-12	201-45.401-9
101-11.603-13	201-45.401-9
101-11.603-14	201-45.401-9
101-11.603-15	201-45.401-10
101-11.701	NARA
101-11.701-1	NARA
101-11.701-2	NARA
101-11.701-3	NARA
101-11.701-4	NARA
101-11.701-5	NARA
101-11.701-6	NARA
101-11.800	201-45.500
101-11.800-1	201-45.500-1
101-11.801	201-45.501
101-11.802	201-2.001
101-11.803	201-45.502
101-11.804	201-45.503
101-11.805	201-45.504
101-11.805-1	201-45.504-1, 201-45.504-2
101-11.805-2	201-45.504-1, 201-45.504-2
101-11.806	Deleted
101-11.806-1	201-45.509, 201-45.510, 201-45.510-1, 201-45.510-2
101-11.806-2	Deleted
101-11.806-3	201-45.512
101-11.806-4	Deleted
101-11.806-5	Deleted
101-11.806-6	201-45.507
101-11.806-7	201-45.506
101-11.806-8	201-45.505
101-11.807	201-45.514
101-11.808	201-45.511
101-11.9	Deleted
101-11.1000	201-45.800
101-11.1001	201-45.801
101-11.1002	201-45.802
101-11.1003	201-45.803
101-11.1004	201-45.803
101-11.1005	201-45.804
101-11.1100	201-45.600
101-11.1100-1	201-45.602

DISTRIBUTION TABLE FOR CHAPTER 201—Continued

FPR/FPMR sources	FIRMR sections
101-11.1101	201-45.601
101-11.1102	201-2.001
101-11.1102-1	201-2.001
101-11.1102-2	201-2.001
101-11.1102-3	201-2.001
101-11.1102-4	201-2.001
101-11.1102-5	201-2.001
101-11.1102-6	201-2.001
101-11.1102-7	201-2.001
101-11.1103	201-45.603
101-11.1104	201-45.604
101-11.1105	Deleted.
101-11.1105-1	201-45.604
101-11.1105-2	201-45.608
101-11.1105-3	201-45.605
101-11.1106	Deleted.
101-11.1106-1	Deleted.
101-11.1106-2	201-45.607
101-11.1106-3	201-45.606
101-11.1107	201-45.609
101-11.1107-1	201-45.609-1
101-11.1107-2	201-45.609-2.
101-11.1107-3	Deleted.
101-11.1107-4	Deleted.
101-11.1107-5	201-45.609-3
101-11.1107-6	201-45.610-1
101-11.1107-7	201-45.610-1
101-11.1107-8	201-45.610-2
101-11.1107-9	Deleted.
101-11.1108	201-45.611
101-11.1109	Deleted.
101-11.12	To be rescinded (see 41 CFR 101-6.10)
101-11.13	NARA.
101-11.4900	Deleted.
101-11.4901	NARA.
101-11.4902	NARA.
101-11.4903	NARA.
101-11.4904	NARA.
101-11.4905	NARA.
101-11.4906	NARA.
101-11.4907	NARA.
101-11.4908	NARA.
101-11.4909	NARA.
101-11.4910	NARA.
101-11.4911	None.
101-11.4912	Deleted.
101-11.4913	Deleted.
101-11.4914	Deleted.
101-11.4915	Deleted.
101-11.4916	Deleted.
101-11.4917	Deleted.
101-11.4918	Deleted.
101-11.4919	Deleted.
101-11.4920	Deleted.
101-11.4921	NARA.
101-11.4922	Deleted.
101-11.4930-248	Deleted.
101-11.4930-248-A	Deleted.
101-11.4930-249	Deleted.
101-11.4930-249-A	Deleted.
101-11.4930-250	Deleted.
101-11.4930-282	NARA.
101-11.4931	NARA.
101-11.4932	NARA.
101-29.303 **	201-6.101-3
101-35.200	201-1.101
101-35.200-1	201-1.101-1

DISTRIBUTION TABLE FOR CHAPTER 201—Continued

FPR/FPMR sources	FIRMR sections
101-35.201	201-1.103
101-35.202-1	201-2.001
101-35.202-2	201-2.001
101-35.202-3	201-2.001
101-35.202-4	201-2.001
101-35.202-5	201-2.001
101-35.202-6	201-2.001
101-35.202-7	201-2.001
101-35.202-8	201-2.001
101-35.202-9	201-2.001
101-35.203-1	201-11.002-1
101-35.203-2	201-11.002-1
101-35.203-3	201-20.002
101-35.203-4	201-20.003
101-35.203-5	201-24.106
101-35.203-6	201-20.007
101-35.203-8	201-20.004
101-35.203-9	201-20.005
101-35.203-10	201-24.202
	201-24.203
101-35.204	201-16.002
101-35.205	201-30.013
101-35.206	201-30.012
101-35.206-1	201-30.012
101-35.206-2	201-30.012-1
101-35.207	201-30.007
101-35.207-1	201-24.202
101-35.207-2	201-30.007-1
101-35.208	201-30.008
101-35.209	201-30.009
	201-30.009-1
101-35.210	201-24.208
101-35.211	201-32.102
101-35.212	201-20.014
101-35.300	201-7.000
101-35.301	201-7.101
101-35.302	201-2.001
	201-7.001
101-35.303	201-7.102
101-35.304	201-7.103
101-35.304-1	201-7.103-1
101-35.304-2	201-7.103-2
101-35.304-3	201-7.103-3
101-35.304-4	201-7.103-4
101-35.305	201-7.104
101-35.306	201-7.105
101-35.307	201-7.106
101-35.308	201-7.107
101-35.1700	201-6.000
	201-6.102
101-35.1701	201-6.101
	201-6.102
101-35.1702	201-2.001
	201-6.001
101-35.1703	201-6.102
101-35.1704	201-6.103
101-35.1704-1	201-6.103-1
101-35.1704-2	201-6.103-2
101-36.001	201-1.102-2
101-36.201	201-2.001
101-36.202	201-31.002
101-36.203	201-31.003
101-36.203-1	201-31.004
101-36.203-3	201-31.005
101-36.203-4	201-31.006
101-36.300	201-33.001
101-36.301-1	201-2.001
101-36.301-2	201-2.001
101-36.301-3	201-2.001

DISTRIBUTION TABLE FOR CHAPTER 201—Continued

FPR/FPMR sources	FIRMR sections
101-36.301-4	201-2.001
101-36.301-5	201-2.001
101-36.301-6	201-2.001
101-36.301-7	201-2.001
101-36.301-8	201-2.001
101-36.301-9	201-2.001
101-36.301-9a	201-2.001
101-36.301-10	201-2.001
101-36.301-11	201-2.001
101-36.301-12	201-2.001
101-36.301-13	201-2.001
101-36.301-14	201-2.001
101-36.301-15	201-2.001
101-36.301-16	201-2.001
101-36.301-17	201-2.001
101-36.301-18	201-2.001
101-36.301-19	201-2.001
101-36.302	201-33.002
101-36.303	201-33.003
101-36.303-1	201-33.003-1
101-36.303-2	201-33.003-2
101-36.303-3	201-33.003-3
101-36.304	201-33.004
101-36.305	201-33.005
101-36.306	201-33.006
101-36.307	201-33.007
101-36.308	201-33.008
101-36.309	201-33.009
101-36.309-1	201-33.009-1
101-36.309-2	201-33.009-2
101-36.309-3	201-33.009-3
101-36.309-4	201-33.009-4
101-36.309-5	201-33.009-5
101-36.310	201-33.010
101-36.310-1	201-33.010-1
101-36.310-2	201-33.010-2
101-36.310-3	201-33.010-3
101-36.700	201-7.000
101-36.701	201-2.001
101-36.702	201-7.201
101-36.703	201-7.202
101-36.704	201-7.203
101-36.705	201-7.204
101-36.706	201-7.205
101-36.8	201-31.010
101-36.801-1	201-2.001
101-36.802	201-31.010-1
101-36.803	201-31.010-2
101-36.804	201-31.010-3
101-36.805	201-31.010-4
101-36.9	201-31.012
101-36.902-1	201-2.001
101-36.902-2	201-2.001
101-36.902-3	201-2.001
101-36.902-4	201-2.001
101-36.903	201-31.012-1
101-36.904	201-31.012-2
101-36.905	201-31.012-3
101-36.905-1	201-31.012-3
101-36.905-2	201-31.012-3
101-36.905-3	201-31.012-3
101-36.905-4	201-31.012-3
101-36.905-5	201-31.012-3
101-36.906	201-31.012-4
101-36.907	201-31.012-5
101-36.908	201-31.012-6
101-36.1001	201-20.008
101-36.1200	201-34.006
101-36.1201	201-34.006

DISTRIBUTION TABLE FOR CHAPTER 201—Continued

FPR/FPMR sources	FIRMR sections
101-36.1202	201-34.006
101-36.1203	201-34.006-1
101-36.1204	201-34.006-2
101-36.1205	201-34.006-3
101-36.1206	201-34.006-4
101-36.1207	201-34.006-5
101-36.1300	201-8.100
101-36.1301	201-8.101
101-36.1302	201-8.102
101-36.1302-1	201-8.102-1
101-36.1302-2	201-8.102-2
101-36.1302-3	201-8.102-3
101-36.1303	201-8.103
101-36.1303-1	201-2.001
101-36.1303-2	201-8.103-1
101-36.1303-3	201-8.103-2
101-36.1303-4	201-8.103-3
101-36.1303-5	201-8.103-4
101-36.1303-6	201-2.001
101-36.1303-7	201-2.001
101-36.1304	201-8.105
101-36.1304-1	201-8.105-1
101-36.1304-2	201-8.105-2
101-36.1304-3	201-8.105-3
101-36.1304-4	201-8.105-4
101-36.1304-5	201-8.105-5
101-36.1304-6	201-5.105-6
101-36.1304-7	201-8.105-7
101-36.1304-8	201-8.105-8
101-36.1304-9	201-8.105-9
101-36.1304-10	201-8.105-10
101-36.1304-11	201-8.105-11
101-36.1304-12	201-8.105-12
101-36.1304-13	201-8.105-13
101-36.1304-14	201-8.105-14
101-36.1304-15	201-8.105-15
101-36.1304-16	201-8.105-16
101-36.1304-17	201-8.105-17
101-36.1304-18	201-8.105-18
101-36.1304-19	201-8.105-19
101-36.1304-20	201-8.105-20
101-36.1304-21	201-8.105-21
101-36.1304-22	201-8.105-22
101-36.1304-23	201-8.105-23
101-36.1304-27	201-8.105-24
101-36.1304-28	201-8.105-28
101-36.1304-29	201-8.105-29
101-36.1304-30	201-8.105-30
101-36.1304-31	201-8.105-31
101-36.1304-32	201-8.105-32
101-36.1304-33	201-8.105-33
101-36.1305	201-8.106
101-36.1305-2	201-8.106-2
101-36.1305-3	201-8.106-3
101-36.1305-4	201-8.106-4
101-36.1305-5	201-8.106-5
101-36.1306	201-8.111
101-36.1307	201-8.110
101-36.1307-1	201-8.110-1
101-36.1308	201-8.112
101-36.1308-1	201-8.112-1
101-36.1308-4	201-8.112-4
101-36.1308-5	201-8.112-5
101-36.1308-6	201-8.112-6
101-36.1308-7	201-8.112-7
101-36.1308-15	201-8.112-11
101-36.1308-17	201-8.112-13
101-36.1308-18	201-8.112-14
101-36.1308-20	201-8.112-16

DISTRIBUTION TABLE FOR CHAPTER 201—Continued

FPR/FPMR sources	FIRMR sections
101-36.1308-21	201-8.112-17
101-36.1308-22	201-8.112-18
101-36.1309	201-8.113
101-36.1309-1	201-8.113-1
101-36.1309-2	201-8.113-2
101-36.1309-3	201-8.113-3
101-36.1309-4	201-8.113-4
101-36.1309-5	201-8.113-5
101-36.1309-6	201-8.113-6
101-36.1310	201-8.107
101-36.1310-1	201-8.107-1
101-36.1310-2	201-8.107-2
101-36.1310-3	201-8.107-3
101-36.1310-4	201-8.108
101-36.1311	201-8.109
101-36.14	201-34.002
101-36.1401	201-2.001
101-36.1402	201-34.002-1
101-36.1402-1	201-34.002-1
101-36.1402-2	201-34.002-2
101-36.1402-3	201-34.002-1
101-36.1403	201-34.002-1
101-36.1404	201-34.002-1
101-36.1600	201-31.014
101-36.1601	201-31.014-1
101-36.1602	201-2.001
101-36.1603	201-31.014-1
101-36.1604	201-31.014-2
101-36.1605	201-31.014-3
101-36.1606	201-31.014-4
101-36.1607	201-31.014-5
101-36.1608	201-31.014-6
101-36.1609	201-31.014-7
101-36.1610	201-31.014-8
101-36.1611	201-31.014-9
101-36.1612	201-31.014-10
101-36.1613	201-31.014-11
101-36.4701	201-31.006
101-36.4702	201-33.011
101-36.4702-1	201-33.011-1
101-36.4702-2	201-33.011-2
101-36.4702-3	201-33.011-3
101-36.4702-4	201-33.011-4
101-37.101	201-1.102
101-37.102	201-1.103
101-37.103	201-21.011
101-37.104	201-21.011
101-37.105-1	201-2.001
101-37.105-2	201-21.014
101-37.105-3	201-21.014
101-37.105-4	201-38.007
101-37.106	201-21.014
101-37.107	201-21.013
101-37.110	201-21.012
	201-21.015
101-37.111	201-21.017
101-37.112	201-21.005
101-37.201	201-30.001
101-37.201-1	201-39.006
	201-39.007-1
101-37.201-2	201-39.006
	201-39.007-2
101-37.201-5	201-2.001
101-37.202	201-39.002
	201-39.002-1
	201-39.002-2
	201-39.002-3
	201-39.002-4
	201-30.002-5

DISTRIBUTION TABLE FOR CHAPTER 201—Continued

FPR/FPMR sources	FIRMR sections
	201-30.002-6
	201-39.002-7
	201-39.006-6
101-37.203	201-39.006
	201-39.006-1
	201-39.006-2
	201-39.006-4
	201-39.006-6
101-37.204-1	201-39.007-2
101-37.204-2	201-39.006-3
101-37.205	201-39.001
	201-39.007-2
101-37.210	201-39.006
101-37.301	201-41.001
101-37.302	201-41.001
101-37.302(e)	201-21.001
101-37.303	201-41.002
101-37.304	201-41.007
101-37.305	201-41.003
101-37.306	201-41.003
101-37.307	201-21.003
	201-38.011
101-37.307-1	201-21.003-3
101-37.307-2	201-38.011
101-37.308	201-2.001
	201-38.011
101-37.310	201-41.004
101-37.311	201-6.000
	201-6.201
	201-6.202
101-37.311-1	201-2.001
	201-6.001
101-37.311-2	201-6.202-1
101-37.311-3	201-6.202-2
101-37.311-4	201-6.203
101-37.311-5	201-6.204
101-37.312	201-38.008
101-37.312-1	201-38.008-1
101-37.312-2	201-38.008-2
101-37.313	201-38.009
101-37.402	201-21.012
101-37.402-1	201-21.012
101-37.402-2	201-21.012-1
101-37.402-3	201-21.012-2
101-37.402-4	201-21.012-3
101-37.403	201-21.015-1
101-37.404	201-21.015-2
101-37.405	201-21.017
101-37.501	201-41.006
	201-41.007
101-37.502	201-41.007
101-37.503	201-41.007
101-37.504	201-41.007
101-37.506	201-41.007
101-37.6	201-41.010
101-37.601	201-41.010-1
101-37.603	201-41.010-2
101-37.604	201-41.010-3
101-37.605	201-41.010-4
101-37.7	201-41.008
101-37.700	201-41.008-1
101-37.701	201-41.008-1
101-37.702	201-2.001
101-37.703	201-41.008-2
101-37.703-1	201-41.008-2
101-37.703-2	201-41.008-2
101-37.703-3	201-41.008-2
101-37.8	201-41.009
101-37.800	201-41.009-1

DISTRIBUTION TABLE FOR CHAPTER 201—Continued

FPR/FPMR sources	FIRMR sections
101-37.801	201-41.009-2
101-37.801-1	201-41.009-2
101-37.801-2	201-41.009-2
101-37.801-3	201-41.009-2
101-37.801-4	201-41.009-2
101-37.802	201-41.009-3

DISTRIBUTION TABLE FOR CHAPTER 201—Continued

FPR/FPMR sources	FIRMR sections
101-37.802-1	201-41.009-3
101-37.802-2	201-41.009-3
101-37.803	201-41.009-4
101-37.4901	201-39.006-1

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Derivation and Distribution Tables

At 50 FR 26908, June 28, 1985, 41 CFR Part 101-11 was recodified as 41 CFR Parts 201-22 and 201-45.

For the convenience of the user, the following derivation and distribution tables reflect the recodification.

Derivation Table for Part 201-22

FIRMR sections	FPMR sources
201-22.000	101-11.000
201-22.001	101-11.101
201-22.001-1	101-11.101-1
201-22.001-2	101-11.101-2
201-22.001-3	None.
201-22.001-4	101-11.101-4 101-11.103-1, 101-11.104, 101-11.209-2, 101-11.501
201-22.002	101-11.102
201-22.002-1	101-11.102-1
201-22.002-2	101-11.102-2
201-22.002-3	101-11.102-3
201-22.002-4	101-11.102-4
201-22.002-5	101-11.102-6
201-22.003	101-11.103
201-22.003-1	101-11.103-2
201-22.003-2	101-11.103-3
201-22.003-3	101-11.103-4

Derivation Table for Part 201-45

FIRMR sections	FPMR sources
201-45.100	101-11.200
201-45.101	101-11.201
201-45.101-1	101-11.201-1
201-45.102	101-11.206
201-45.102-1	101-11.206-1
201-45.102-2	101-11.206-3
201-45.102-3	101-11.206-4
201-45.103	101-11.207
201-45.103-1	101-11.207-1
201-45.103-2	101-11.207-3
201-45.103-3	101-11.207-4
201-45.104	101-11.208
201-45.104-1	None.
201-45.104-2	None
201-45.104-3	101-11.208-1
201-45.104-4	101-11.208-3, 101-11.208-4
201-45.104-5	None
201-45.105	101-11.209
201-45.105-1	101-11.209-1.
201-45.105-2	Reserved.
201-45.105-3	101-11.209-4
201-45.105-4	101-11.209-5
201-45.105-5	101-11.209-6.

Derivation Table for Part 201-45—Continued

FIRMR sections	FPMR sources
201-45.106	101-11.302
201-45.106-1	101-11.302-1
201-45.106-2	101-11.302-2
201-45.106-3	101-11.302-4
201-45.106-4	101-11.302-5.
201-45.107	101-11.304
201-45.107-1	101-11.304-1
201-45.107-2	101-11.304-3
201-45.107-3	101-11.304-4
201-45.108	101-11.305
201-45.108-1	101-11.305-1
201-45.108-2	101-11.305-3, 101-11.305-4.
201-45.108-3	None.
201-45.109	101-11.5.
201-45.109-1	101-11.500
201-45.109-2	101-11.503
201-45.109-3	101-11.504
201-45.109-4	101-11.505
201-45.110	101-11.306
201-45.110-1	101-11.306-1
201-45.110-2	101-11.306-3, 101-11.306-4
201-45.2	Reserved.
201-45.3	Reserved.
201-45.400	None.
201-45.401	101-11.603.
201-45.401-1	101-11.603-1.
201-45.401-2	101-11.603-3.
201-45.401-3	101-11.603-4.
201-45.401-4	101-11.603-5.
201-45.401-5	101-11.603-6.
201-45.401-6	101-11.603-7
201-45.401-7	101-11.603-8.
201-45.401-8	101-11.603-9.
201-45.401-9	101-11.603-10, 101-11.603-11, 101-11.603-12, 101-11.603-13, 101-11.603-14.
201-45.401-10	101-11.603-15.
201-45.500	101-11.800.
201-45.500-1	101-11.800-1.
201-45.501	101-11.801.
201-45.502	101-11.803.
201-45.503	101-11.804.
201-45.504	101-11.805.
201-45.504-1	101-11.805-1, 101-11.805-2.

Derivation Table for Part ..45—Continued

FIRMR sections	FPMR sources
201-45.504-2	101-11.805-1, 101-11.805-2.
201-45.505	101-11.806-8.
201-45.505-1	None.
201-45.506	101-11.806-7.
201-45.507	101-11.806-6.
201-45.508	None.
201-45.509	101-11.806-1.
201-45.510	101-11.806-1.
201-45.510-1	101-11.806-1.
201-45.510-2	101-11.806-1.
201-45.510-3	None.
201-45.511	101-11.808.
201-45.512	101-11.806-3.
201-45.513	None.
201-45.514	101-11.807.
201-45.600	101-11.1100.
201-45.601	101-11.1101.
201-45.602	101-11.1100-1.
201-45.603	101-11.1103.
201-45.604	101-11.1104, 101-11.1105-1.
201-45.605	101-11.1105-3.
201-45.606	101-11.1106-3.
201-45.607	101-11.1106-2.
201-45.608	101-11.1105-2.
201-45.609	101-11.1107.
201-45.609-1	101-11.1107-1.
201-45.609-2	101-11.1107-2.
201-45.609-3	101-11.1107-5.
201-45.610	None.
201-45.610-1	101-11.1107-6, 101-11.1107-7.
201-45.610-2	101-11.1107-8.
201-45.611	101-11.1108.
201-45.7	Reserved.
201-45.800	101-11.1000.
201-45.801	101-11.1001.
201-45.802	101-11.1002.
201-45.803	101-11.1003, 101-11.1004.
201-45.804	101-11.1005.

In the following tables the designation, "NARA," means that the cited FPMR material is the responsibility of the National Archives and Records Administration under Pub. L. 98-497.

Distribution Table for Part 201-22

FPMR sources	FIRMR sections
101-11.000	201-22.000.
101-11.101	201-22.001.
101-11.101-1	201-22.001-1.
101-11.101-2	201-22.001-2.
101-11.101-3	201-22.001-3.
101-11.101-4	201-22.001-4.
101-11.101-5	201-22.003-1.
101-11.102	201-22.002.
101-11.102-1	201-22.002-1.
101-11.102-2	201-22.002-2.
101-11.102-3	201-22.002-3.
101-11.102-4	201-22.002-4.
101-11.102-5	NARA.
101-11.102-6	201-22.002-5.
101-11.103	201-22.003.
101-11.103-1	201-22.001-4.
101-11.103-2	201-22.003-1.
101-11.103-3	201-22.003-2.
101-11.103-4	201-22.003-3.
101-11.104	201-22.001-4.

Distribution Table for Part 201-45

FPMR sources	FIRMR sections
101-11.200	201-45.100.
101-11.201	201-45.101.
101-11.201-1	201-45.101-1.
101-11.202	NARA.
101-11.202-1	NARA.
101-11.202-2	NARA.
101-11.203	NARA.
101-11.203-1	NARA.
101-11.203-2	NARA.
101-11.204	Deleted.
101-11.205	Deleted.
101-11.206	201-45.102.
101-11.206-1	201-45.102-1.
101-11.206-2	201-2.001.
101-11.206-3	201-45.102-2.
101-11.206-4	201-45.102-3.
101-11.207	201-45.103.
101-11.207-1	201-45.103-1.
101-11.207-2	201-2.001.
101-11.207-3	201-45.103-2.
101-11.207-4	201-45.103-3.
101-11.208	201-45.104.
101-11.208-1	201-45.104-3.
101-11.208-2	201-2.001.
101-11.208-3	201-45.104-4.
101-11.208-4	201-45.104-4.
101-11.209	201-45.105.
101-11.209-1	201-45.105-1.
101-11.209-2	201-22.001-4.
101-11.209-3	201-2.001.
101-11.209-4	201-45.105-3.
101-11.209-5	201-45.105-4.
101-11.209-6	201-45.105-5.
101-11.210	Deleted.
101-11.301	Deleted.
101-11.302	201-45.106.
101-11.302-1	201-45.106-1.
101-11.302-2	201-45.106-2.
101-11.302-3	201-2.001.
101-11.302-4	201-22.106-3.
101-11.302-5	201-45.106-4.
101-11.303	None.
101-11.304	201-45.107.
101-11.304-1	201-45.107-1.
101-11.304-2	201-2.001.
101-11.304-3	201-45.107-2.
101-11.304-4	201-45.107-3.
101-11.305	201-45.108.
101-11.305-1	201-45.108-1.
101-11.305-2	201-2.001.
101-11.305-3	201-45.108-2.
101-11.305-4	201-45.108-2.
101-11.306	201-45.110.
101-11.306-1	201-45.110-1.

DISTRIBUTION TABLE FOR PART 201-45—Continued

FPMR sources	FIRMR sections
101-11.306-2	201-2.001
101-11.306-3	201-45.110-2.
101-11.306-4	201-45.110-2.
101-11.320	NARA.
101-11.321	NARA.
101-11.322	NARA.
101-11.323	NARA.
101-11.324	NARA.
101-11.325	NARA.
101-11.326	NARA.
101-11.327	NARA.
101-11.328	NARA.
101-11.329	NARA.
101-11.401	NARA.
101-11.402	NARA.
101-11.403	NARA.
101-11.404	NARA.
101-11.405	NARA.
101-11.406	NARA.
101-11.407	NARA.
101-11.408	NARA.
101-11.409	NARA.
101-11.410	NARA.
101-11.411	NARA.
101-11.412	NARA.
101-11.500	201-45.109-1.
101-11.501	201-22.001-4.
101-11.502	201-2.001.
101-11.503	201-45.109-2.
101-11.504	201-45.109-3.
101-11.505	201-45.109-4.
101-11.506	NARA.
101-11.507	NARA.
101-11.508	NARA.
101-11.509	NARA.
101-11.510	NARA.
101-11.601	Deleted.
101-11.602	Deleted.
101-11.603	201-45.401.
101-11.603-1	201-45.401-1.
101-11.603-2	201-2.001.
101-11.603-3	201-45.401-2.
101-11.603-4	201-45.401-3.
101-11.603-5	201-45.401-4.
101-11.603-6	201-45.401-5.
101-11.603-7	201-45.401-6.
101-11.603-8	201-45.401-7.
101-11.603-9	201-45.401-8.
101-11.603-10	201-45.401-9.
101-11.603-11	201-45.401-9.
101-11.603-12	201-45.401-9.
101-11.603-13	201-45.401-9.
101-11.603-14	201-45.401-9.
101-11.603-15	201-45.401-10.
101-11.701	NARA.
101-11.701-1	NARA.
101-11.701-2	NARA.
101-11.701-3	NARA.
101-11.701-4	NARA.
101-11.701-5	NARA.
101-11.701-6	NARA.
101-11.800	201-45.500.
101-11.800-1	201-45.500-1.
101-11.801	201-45.501.
101-11.802	201-2.001.
101-11.803	201-45.502.
101-11.804	201-45.503.
101-11.805	201-45.504.

DISTRIBUTION TABLE FOR PART 201-45—Continued

FPMR sources	FIRMR sections
101-11.805-1	201-45.504-1, 201-45.504-2.
101-11.805-2	201-45.504-1, 201-45.504-2
101-11.806	Deleted.
101-11.806-1	201-45.509, 201-45.510, 201-45.510-1, 201-45.510-2.
101-11.806-2	Deleted.
101-11.806-3	201-45.512
101-11.806-4	Deleted.
101-11.806-5	Deleted.
101-11.806-6	201-45.507
101-11.806-7	201-45.506.
101-11.806-8	201-45.505.
101-11.807	201-45.514.
101-11.808	201-45.511.
101-11.9	Deleted.
101-11.1000	201-45.800.
101-11.1001	201-45.801.
101-11.1002	201-45.802.
101-11.1003	201-45.803.
101-11.1004	201-45.803.
101-11.1005	201-45.804.
101-11.1100	201-45.600.
101-11.1100-1	201-45.602.
101-11.1101	201-45.601.
101-11.1102	201-2.001.
101-11.1102-1	201-2.001.
101-11.1102-2	201-2.001
101-11.1102-3	201-2.001.
101-11.1102-4	201-2.001
101-11.1102-5	201-2.001
101-11.1102-6	201-2.001
101-11.1102-7	201-2.001
101-11.1103	201-45.603.
101-11.1104	201-45.604
101-11.1105	Deleted.
101-11.1105-1	201-45.604
101-11.1105-2	201-45.606
101-11.1105-3	201-45.605
101-11.1106	Deleted.
101-11.1106-1	Deleted.
101-11.1106-2	201-45.607
101-11.1106-3	201-45.606
101-11.1107	201-45.609
101-11.1107-1	201-45.609-1
101-11.1107-2	201-45.609-2
101-11.1107-3	Deleted.
101-11.1107-4	Deleted.
101-11.1107-5	201-45.609-3.
101-11.1107-6	201-45.610-1
101-11.1107-7	201-45.610-1
101-11.1107-8	201-45.610-2
101-11.1107-9	Deleted.
101-11.1108	201-45.611
101-11.1109	Deleted.
101-11.12	To be rescinded (see 41 CFR 101-6.10).
101-11.13	NARA.
101-11.4900	Deleted.
101-11.4901	NARA.
101-11.4902	NARA.
101-11.4903	NARA.
101-11.4904	NARA.
101-11.4905	NARA.
101-11.4906	NARA.

DISTRIBUTION TABLE FOR PART 201-45—Continued

FPMR sources	FIRMR sections
101-11.4907	NARA.
101-11.4908	NARA.
101-11.4909	NARA.
101-11.4910	NARA.
101-11.4911	None.
101-11.4912	Deleted.
101-11.4913	Deleted.
101-11.4914	Deleted.
101-11.4915	Deleted.
101-11.4916	Deleted.
101-11.4917	Deleted.
101-11.4918	Deleted.

DISTRIBUTION TABLE FOR PART 201-45—Continued

FPMR sources	FIRMR sections
101-11.4919	Deleted.
101-11.4920	Deleted.
101-11.4921	NARA.
101-11.4922	Deleted.
101-11.4930-248	Deleted.
101-11.4930-248-A	Deleted.
101-11.4930-249	Deleted.
101-11.4930-249-A	Deleted.
101-11.4930-250	Deleted.
101-11.4930-282	NARA.
101-11.4931	NARA.
101-11.4932	NARA.

List of CFR Sections Affected

All changes in this volume of the Code of Federal Regulations which were made by documents published in the FEDERAL REGISTER since May 17, 1984, are enumerated in the following list. Entries indicate the nature of the changes effected. Page numbers refer to FEDERAL REGISTER pages. The user should consult the entries for chapters and parts as well as sections for revisions.

1984

41 CFR — 49 FR Page

Chapter 201
Subtitle E Subtitle established...20996
201 Chapter established...20996
201-1 Added...20997
201-4 Added (regulations duplicated from Part 1-40)...21001
201-4.1203 *See* Temp. Reg. 1...22478
201-4.1205 *See* Temp. Reg. 1...22478
201-4.1206-5 *See* Temp. Reg. 1...22478
201-4.1208-2 *See* Temp. Reg. 1...22478
201-4.1209 *See* Temp. Reg. 1...22478
201-4.1209-2 *See* Temp. Reg. 1...22479
201-4.1209-3 *See* Temp. Reg. 1...22479
201-4.1302 *See* Temp. Reg. 51, Supp. 4...50402
201-4.1302-1 *See* Temp. Reg. 51, Supp. 4...50402
201-4.1302-3 *See* Temp. Reg. 51, Supp. 4...50402
201-4.1307 *See* Temp. Reg. 51, Supp. 3...39159
201-35 Added (regulations duplicated from Part 101-35)...21002
Authority citation...21002
201-36 Added (regulations duplicated from Part 101-36)...21002
201-36.1304-20 *See* Temp. Reg. 2...24727
201-36.1304-23 *See* Temp. Reg. 2...24727
201-36.1304-34 *See* Temp. Reg. 2...24728
201-36.1305-6 *See* Temp. Reg. 2...24729
201-36.1304-7 *See* Temp. Reg. 2...24729
201-37 Added (regulations duplicated from Part 101-37)...21002

41 CFR—Continued — 49 FR Page

Chapter 201—Continued
Heading corrected...22087
201-1—201-41 Chapter 201 Appendix A
Appendix Added...21002
Temporary Reg. 1 added...22477
Temporary Reg. 2 added; eff. 8-8-84...24727
Temporary Reg. 64, Supp. 2; Reg. 71, Supp. 1; Reg. F-499, Supp. 1; and Reg. B-6, Supp. 1 added...38948
Temp. Reg. 51, Supp. 3 added...39159
Temp. Reg. 51, Supp. 4 added...50401

1985

41 CFR — 50 FR Page

Chapter 201
201-1—201-2 (Subchapter A) Heading added...4329
201-1 Revised...4329
201-1.102 *See* Temp. Reg. 11...13321
(c)(4) and (5) added...27144
Effective date deferred...36995
201-1.102-2 *See* Temp. Reg. 11...13321
(b)(3) revised...27144
Effective date deferred...36995
201-1.103 *See* Temp. Reg. 11...13321
(b)(3) and (g) Note amended; (c)(5) added...27144
Effective date deferred...36995
201-1.104-3 *See* Temp. Reg. 11...13321
(b)(1) and (2) revised...27144
Effective date deferred...36995
201-1.402 *See* Temp. Reg. 11...13321
Revised...27144
Effective date deferred...36995
201-1.502 *See* Temp. Reg. 11...13322

41 CFR—Continued

	50 FR Page
Chapter 201—Continued	
Revised	27144
Effective date deferred	36995
201-2 Added	4334
201-2.001 *See* Temp. Reg. 4	4406
See Temp. Reg. 6	4412
See Temp. Reg. 7	4415
See Temp. Reg. 8	4419
See Temp. Reg. 11	13322
See Temp. Reg. 12	14223
Amended; eff. 8-26-85	26365
Amended	26910, 27145
Corrected	28208
201-4 Removed	4339
201-6—201-11 (Subchapter B) Added	4339
201-6 Added	4339
201-7 Added	4342
201-8 Added	4346
201-8.101-3 *See* Temp. Reg. 11	13322
(a)(2) amended	27147
Effective date deferred	36995
201-8.105-20 *See* Temp. Reg. 2, Supp. 1	4403
Revised	27147
Effective date deferred	36995
201-8.105-23 *See* Temp. Reg. 2, Supp. 1	4404
Revised	27147
Effective date deferred	36995
201-8.105-34 *See* Temp. Reg. 2, Supp. 1	4404
Revised	27148
Effective date deferred	36995
201-8.106-6 *See* Temp. Reg. 2, Supp. 1	4405
Revised	27148
Effective date deferred	36995
201-8.113-7 *See* Temp. Reg. 2, Supp. 1	4405
Revised	27149
Effective date deferred	36995
201-11 Added	4359
201-11.001 *See* Temp. Reg. 11	13322
Effective date deferred	36995
Revised	27149
201-11.001-1 *See* Temp. Reg. 11	13322
Revised	27149
Effective date deferred	36995
201-11.002 *See* Temp. Reg. 11	13323
Revised	27149
Effective date deferred	36995
201-11.002-1 *See* Temp. Reg. 11	13323
Revised	27150
Effective date deferred	36995
201-11.002-2 *See* Temp. Reg. 11	13323
Revised	27150
Effective date deferred	36995
201-11.003 *See* Temp. Reg. 11	13323
Revised	27150
Effective date deferred	36995
201-11.003-1 *See* Temp. Reg. 4	4406
See Temp. Reg. 11	13323
Removed	27150
Effective date deferred	36995
201-11.003-2 *See* Temp. Reg. 4	4406
See Temp. Reg. 11	13323
Removed	27150
Effective date deferred	36995
201-16—201-26 (Subchapter C) Added	4359
201-16 Added	4359
201-16.001 *See* Temp. Reg. 11	13323
Revised	27150
Effective date deferred	36995
201-16.002 *See* Temp. Reg. 7	4416
See Temp. Reg. 8	4420
(c) and (d) revised	27150
Effective date deferred	36995
201-20 Added	4360
201-20.006 *See* Temp. Reg. 7	4416
Revised	27150
Effective date deferred	36995
201-21 Added	4361
201-21.011 *See* Temp. Reg. 11	13323
(a)(4) amended; (c) redesignated as (b)(3)	27150
Effective date deferred	36995
201-22 *See* Temp. Reg. 12	14224
Added (regulations transferred in part from Part 101-11)	26912
201-23 Added	4363
201-23.102 *See* Temp. Reg. 6	4412
Revised	27151
Effective date deferred	36995
201-23.103 *See* Temp. Reg. 6	4412
See Temp. Reg. 11	13323
(a) and (b) revised	27151
Effective date deferred	36995
201-23.104 *See* Temp. Reg. 6	4412
201-23.104-1 *See* Temp. Reg. 6	4412
See Temp. Reg. 11	13323
Revised	27151
Effective date deferred	36995
201-23.104-2 *See* Temp. Reg. 6	4412
See Temp. Reg. 11	13323
Revised	27151
Effective date deferred	36995
201-23.104-3 *See* Temp. Reg. 6	4412

41 CFR—Continued

50 FR Page

Chapter 201—Continued

See Temp. Reg. 11 13323
Revised 27151
Effective date deferred 36995
201-23.104-5 *See* Temp. Reg. 1, Supp. 1 4401
See Temp. Reg. 6 4413
See Temp. Reg. 11 13324
(a), (b) and (d) revised 27152
Effective date deferred 36995
201-23.104-7 *See* Temp. Reg. 11 13324
Added 27152
Effective date deferred 36995
201-23.105 *See* Temp. Reg. 6 4413
Revised 27152
Effective date deferred 36995
201-23.106 *See* Temp. Reg. 5 4409
Revised 27152
Effective date deferred 36995
201-23.106-1 *See* Temp. Reg. 11 13324
(a) (11) and (17) and (b)(3)(ii), (4) (ii), (iii), (iv) and (viii) revised; (a)(18) added 27152
Effective date deferred 36995
201-23.106-2 *See* Temp. Reg. 5 4409
See Temp. Reg. 11 13324
Revised 27153
Effective date deferred 36995
201-23.107 *See* Temp. Reg. 5 4410
(d) and (e) revised 27154
Effective date deferred 36995
201-23.111-1 *See* Temp. Reg. 11 13325
(a) revised 27154
Effective date deferred 36995
201-23.111-2 *See* Temp. Reg. 11 13325
(b), (d), (f), (g), (j), and (k) revised; (l) through (q) redesignated as (k) (2), (3), and (4), (l), (m), and (n) 27154
Effective date deferred 36995
201-23.112 *See* Temp. Reg. 5 4410
201-23.112-1 *See* Temp. Reg. 5 4410
Revised 27154
Effective date deferred 36995
201-23.112-2 *See* Temp. Reg. 5 4411
Revised 27154
Effective date deferred 36995
201-23.501 *See* Temp. Reg. 4 4407
Revised 27154
Effective date deferred 36995
201-24 Added 4366
201-24.104 *See* Temp. Reg. 1, Supp. 1 4401

41 CFR—Continued

50 FR Page

Chapter 201—Continued

See Temp. Reg. 11 13325
Revised 27155
Effective date deferred 36995
201-24.106 *See* Temp. Reg. 11 13325
Revised 27155
Effective date deferred 36995
201-24.202 *See* Temp. Reg. 11 13325
(a) amended 27155
Effective date deferred 36995
201-24.203 *See* Temp. Reg. 11 13325
(b) amended 27155
Effective date deferred 36995
201-24.207 *See* Temp. Reg. 11 13325
Revised 27155
Effective date deferred 36995
201-24.208 *See* Temp. Reg. 8 4420
(a) introductory text and (c) revised 27155
Effective date deferred 36995
201-24.210 *See* Temp. Reg. 11 13325
See Temp. Reg. 11 correction 14386
Revised 27155
Effective date deferred 36995
201-24.211 *See* Temp. Reg. 11 13325
Removed 27156
Effective date deferred 36995
201-24.212 *See* Temp. Reg. 11 13325
Removed 27156
201-24.213 Revised; eff. 8-26-85 26365
Revision effective date deferred 36995
201-24.215 Revised; eff. 8-26-85 26365
Revision effective date deferred 36995
201-24.216 *See* Temp. Reg. 6 4413
See Temp. Reg. 11 13325
Revised 27156
Effective date deferred 36995
201-24.304 *See* Temp. Reg. 4 4407
See Temp. Reg. 11 13326
Removed 27156
Effective date deferred 36995
201-24.305 *See* Temp. Reg. 4 4407
Revised 27156
Effective date deferred 36995
201-26 Added 4370
201-26.200—201-26.206 (Subpart 201-26.2) *See* Temp. Reg. 8 4420
Revised 27156
Effective date deferred 36995
201-30—201-41 (Subchapter D) Added 4370
201-30 Added 4370

41 CFR—Continued 50 FR Page

Chapter 201—Continued

201-30.007 *See* Temp. Reg. 8..... 4421
See Temp. Reg. 11..... 13326
Revised..... 27157
(d)(8)(iii) corrected..... 28208
Effective date deferred..... 36995
201-30.007-1 *See* Temp. Reg. 8..... 4421
Revised..... 27158
Effective date deferred..... 36995
201-30.008 *See* Temp. Reg. 8..... 4422
See Temp. Reg. 11..... 13326
(c) revised; (d) added..... 27158
Effective date deferred..... 36995
201-30.009 *See* Temp. Reg. 8..... 4422
Revised..... 27158
Effective date deferred..... 36995
201-30.009-1 *See* Temp. Reg. 8..... 4422
Revised..... 27158
Effective date deferred..... 36995
201-30.009-3 *See* Temp. Reg. 11..... 13326
Revised..... 27159
Effective date deferred..... 36995
201-30.012 *See* Temp. Reg. 11..... 13327
Introductory text (a), (b) (8) and (10) amended..... 27159
Effective date deferred..... 36995
201-30.012-1 *See* Temp. Reg. 11..... 13327
(a) and (c)(2)(v) amended..... 27159
Effective date deferred..... 36995
201-30.013 *See* Temp. Reg. 11..... 13327
Revised..... 27159
Effective date deferred..... 36995
201-30.013-1 *See* Temp. Reg. 11..... 13327
See Temp. Reg. 11 correction..... 14386
Revised..... 27159
201-30.013-2 *See* Temp. Reg. 11..... 13327
201-30.013-3 Added; eff. 8-26-85..... 26366
Addition effective date deferred..... 36995
201-30.013-4 Added; eff. 8-26-85..... 26366
Addition effective date deferred..... 36995
201-31 Added..... 4373
201-31.002 *See* Temp. Reg. 7..... 4416
Revised..... 27159
Effective date deferred..... 36995
201-31.003 *See* Temp. Reg. 7..... 4417
Revised..... 27159
(a) corrected..... 28208
Effective date deferred..... 36995
201-31.004 *See* Temp. Reg. 7..... 4417

41 CFR—Continued 50 FR Page

Chapter 201—Continued

Revised..... 27160
Effective date deferred..... 36995
201-31.005 *See* Temp. Reg. 7..... 4417
Revised..... 27160
Effective date deferred..... 36995
201-31.006 *See* Temp. Reg. 7..... 4417
Revised..... 27160
Effective date deferred..... 36995
201-31.010-1 *See* Temp. Reg. 7..... 4418
Revised..... 27161
Effective date deferred..... 36995
201-31.010-2 *See* Temp. Reg. 7..... 4418
Revised..... 27161
Effective date deferred..... 36995
201-31.010-3 *See* Temp. Reg. 7..... 4418
Revised..... 27161
Effective date deferred..... 36995
201-32 Added..... 4376
201-32.102 *See* Temp. Reg. 11..... 13327
(a) amended..... 27161
Effective date deferred..... 36995
201-32.106 *See* Temp. Reg. 11..... 13327
Introductory text and (a) amended..... 27161
Effective date deferred..... 36995
201-32.206 *See* Temp. Reg. 6..... 4413
See Temp. Reg. 11..... 13327
Revised..... 27161
(f)(1) corrected..... 28208
Effective date deferred..... 36995
201-32.208 Amended..... 27163
Effective date deferred..... 36995
201-32.302-2 *See* Temp. Reg. 1, Supp. 1..... 4401
(a) revised..... 27163
Effective date deferred..... 36995
201-32.303 *See* Temp. Reg. 1, Supp. 1..... 4401
(c) and (e) revised..... 27163
Effective date deferred..... 36995
201-32.303-2 *See* Temp. Reg. 1, Supp. 1..... 4402
See Temp. Reg. 11..... 13329
(b), (c) (2) and (3), and (d) revised..... 27164
(d) corrected..... 28208
Effective date deferred..... 36995
201-32.303-3 *See* Temp. Reg. 1, Supp. 1..... 4402
See Temp. Reg. 11..... 13329
(b) (3) and (4), (c), and (d) revised..... 27164
Effective date deferred..... 36995
201-33 Added..... 4384
201-34 Added..... 4390

41 CFR—Continued

50 FR Page

Chapter 201—Continued

201-35 Removed 4393
201-36 Removed 4393
201-37 Removed 4393
201-38 Added 4393
201-38.010 *See* Temp. Reg. 8 4423
See Temp. Reg. 11 13329
Revised 27164
Effective date deferred 36995
201-38.011 (c) amended 27164
Effective date deferred 36995
201-38.012 *See* Temp. Reg. 11 13329
Revised 27165
Effective date deferred 36995
201-38.014-1 *See* Temp. Reg. 4 4407
Revised 27165
Effective date deferred 36995
201-38.014-2 *See* Temp. Reg. 4 4407
Revised 27165
Effective date deferred 36995
201-38.014-3 *See* Temp. Reg. 4 4407
Revised 27165
Effective date deferred 36995
201-38.017 *See* Temp. Reg. 4 4407
Revised 27165
Effective date deferred 36995
201-39 Added 4395
201-39.002-3 *See* Temp. Reg. 8 4423
Revised 27165
Effective date deferred 36995
201-39.006-1 (a) revised; table amended 27165
Revised 27165
Effective date deferred 36995
201-39.006-4 *See* Temp. Reg. 8 4423
See Temp. Reg. 11 13329
See Temp. Reg. 11 correction 14386
Revised 27166
(a) corrected 28208
Effective date deferred 36995
201-39.006-5 *See* Temp. Reg. 8 4424
Revised 27167
Effective date deferred 36995
201-39.007-3 *See* Temp. Reg. 8 4424
Revised 27167
Effective date deferred 36995
201-40 Added 4397
201-40.002-1 *See* Temp. Reg. 4 4407
Revised 27167
Effective date deferred 36995
201-40.006 *See* Temp. Reg. 4 4408
Revised 27167
Effective date deferred 36995
201-40.007 *See* Temp. Reg. 4 4408
Revised 27168
Effective date deferred 36995
201-40.007-1 *See* Temp. Reg. 4 4408

41 CFR—Continued

50 FR Page

Chapter 201—Continued

Revised 27168
Effective date deferred 36995
201-40.008 *See* Temp. Reg. 4 4408
See Temp. Reg. 11 13330
See Temp. Reg. 11 correction 14386
Revised 27168
(a)(3) introductory text and (b)(2)(v)(D) corrected 28208
Effective date deferred 36995
201-41 Added 4397
201-45 *See* Temp. Reg. 12 14226
Added (regulations transferred in part from Part 101-11) 26913
201-45.502 (e) corrected 18249
201-1—201-45 FIRMR Temp. Reg. 3, Temp. Reg. 51 and Supp. 2, Temp. Reg. 64 and Supp. 1, Temp. Reg. 71, Temp. Reg. F-499, Temp. Reg. F-500/B-6, and Temp. Reg. F-502 removed 4400
Temporary Reg. 1, Supp. 1 added 4401
Temporary Reg. 2, Supp. 1 added 4403
Temporary Reg. 4 added 4406
Temporary Reg. 5 added 4409
Temporary Reg. 6 added 4411
Temporary Reg. 7 added 4415
Temporary Reg. 8 added 4419
Temporary Reg. 9 added 4423
Temporary Reg. 10 added 11861
Temporary Reg. 10 corrected 13023
Temporary Reg. 11 added 13320
Temp. Reg. 4 amended by Temp. Reg. 11 ..... 13323, 13326, 13330
Temp. Reg. 6 amended by Temp. Reg. 11 ..... 13323, 13327
Temp. Reg. 5 amended by Temp. Reg. 11 13324
Temp. Reg. 1, Supp. 1 amended by Temp. Reg. 11 ..... 13325, 13329
Temp. Reg. 8 amended by Temp. Reg. 11 13326
Temp. Reg. 9 amended by Temp. Reg. 11 13326
Temporary Reg. 12 added 14222
Temporary Reg. 11 corrected 14386
Temporary Reg. 12 removed 26926
Temporary Regs. 1, Supp. 1, 2 Supp. 1, 4 through 9, and 11 removed 27169
Effective date deferred 36995

41 CFR—Continued

	50 FR Page
Chapter 201—Continued	
201-1—201-41 (Chapter 201 Appendix E) *See* Temp. Reg. 7	4418
201-45 Derivation Table corrected	28208
210-2.001 Amendment effective date deferred	36995

1986

(Regulations published from January 1, 1986 through July 1, 1986)

41 CFR

	51 FR Page
Chapter 201	
201-2.001 Amended	9958
201-8.100-1 Revised	8318
201-8.101-1 Revised	8318
201-8.101-2 Revised	8319
Corrected	10392
201-8.101-3 (a) introductory text revised	8319
201-8.101-4 Added	8319
201-8.102 Revised	8319
Corrected	10392
201-8.102-1 Revised	8319
201-8.102-2 Revised	8319
201-8.103 Revised	8319
201-8.104 (a) revised	8319
201-8.105-1 Revised	8320
201-8.105-2 Revised	8320
201-8.105-4 Removed	8320
201-8.105-7 Removed	8320
201-8.105-12 Revised	8320
201-8.105-13 Removed	8320
201-8.105-14 Removed	8320
201-8.105-18 (b) revised	8320
201-8.105-30 Revised	8320
201-8.105-31 Heading revised	8320
201-8.105-32 Heading revised	8320

41 CFR—Continued

	51 FR Page
Chapter 201—Continued	
201-8.105-33 (b) revised	8321
201-8.105-35 Added	8321
201-8.105-36 Added	8321
201-8.105-37 Added	8321
201-8.106-6 Text removed; Note added	8321
201-8.107-1 Heading revised	8321
201-8.107-2 Heading revised	8321
201-8.107-3 Heading revised	8321
201-8.109 (c) revised	8321
201-8.110-1 (b) revised	8322
201-8.112-8 Added	8322
201-8.112-12 Revised	8322
(b) corrected	10392
201-8.112-14 Revised	8322
201-8.112-16 Revised	8323
201-8.112-17 Removed	8323
201-8.112-18 Removed	8323
201-8.112-25 Added	8323
201-8.112-26 Added	8323
201-8.112-27 Added	8323
201-8.113-2 Revised	8323
201-8.113-3 Revised	8324
201-8.113-4 Revised	8324
201-11.002-2 Added	9958
201-23.104-1 (c)(2) revised	9958
201-24.206 Revised	9958
201-30.009 (a) introductory text revised; (b) added; (c) removed	9958
201-30.009-2 Revised	9959
201-32.203 (h) and (i) redesignated as (i) and (j) and revised; new (h) added	9959
201-32.206 (a)(2) revised	9959
201-33.003 Revised	9959
201-33.011 (a), (c), and (d)(6) revised	9960
201-33.012 Added	9960